



identified as such. Presenting such items as new makes the items counterfeit.

- 7.2.2 Suspect parts are items that might not have been or are suspected of not having been produced in accordance with applicable laws and regulations. If an item falls into this category RTA are to be informed prior to supply. RTA may grant authorization to supply if the parts can be validated. Any validation costs will be the supplier's responsibility.
- 7.2.3 RTA operate anti-counterfeit and suspect part prevention processes in accordance with AS6174. Although RTA do not require suppliers to conform to all aspects of this standard, suppliers are required to establish appropriate processes and controls to prevent and/or identify counterfeit and suspect items. In order to guarantee counterfeit free orders;
 - 7.2.3.1 The supplier may only source new and authentic materials directly from original manufacturers, manufacturer franchised distributors, or authorized aftermarket manufacturers. Use of material not provided by these sources is not authorized unless first approved in writing by RTA. In such cases the supplier must provide compelling support for its request and include actions/evidence that assure the materiel procured is authentic and conforming.
 - 7.2.3.2 To facilitate compliance, manufacturers should have a documented quality management system either certified, or at least aiming to achieve compliance to ISO9001 or AS9100.
 - 7.2.3.3 If using a distributor, the distributor should be an authorized distributor, and/or have a documented quality management system either certified, or at least aiming to achieve compliance to ISO9001 or AS9120.
 - 7.2.3.4 Supplier shall flow down anti-counterfeit and suspect material requirements within their own supply chains and provide evidence of such upon request.
- 7.2.4 The supplier is required to complete all tests and inspections to assure product authenticity, including development of accept/reject criteria (if not already stipulated), and the qualification of test/inspection personnel.
- 7.2.5 If suspect/counterfeit product is furnished against an RTA purchase order, such items shall be impounded. The supplier shall promptly replace such items with acceptable items and shall accept any and all costs relating to impoundment, removal, testing, and replacement if

This copyrighted document is the property of RTA International, Inc. It is issued solely for use by RTA suppliers as a point of reference to assure continued quality of supply to RTA, and RTA customers. It is the supplier's responsibility to ensure that the most current version of this manual is retained on file at the supplier's premises, and any superseded versions are appropriately removed and destroyed. No unauthorized changes or releases of this document are allowed. All printed versions are deemed "uncontrolled".



imposed by RTA. RTA may turn the impounded items over to Authority Having Jurisdiction for investigation and reserves the right to withhold payment for the suspect items pending the results of the investigation. Any known instances of fraud or attempted fraud shall be documented in writing to RTA.

7.3 Drawing Control

- 7.3.1 Drawings furnished by RTA to the Supplier are furnished solely for the purpose of doing business with RTA.
- 7.3.2 Proprietary drawings may be furnished to the Supplier in hard copy, electronic or other media (note, in this instance drawings refer to 3D models and other manufacturing information such as bills of materials). The Supplier is responsible for controlling and maintaining such documents to maintain the correct configuration as well as to preclude improper use, loss, damage, alteration and/or deterioration.
- 7.3.3 Unless authorized by the RTA Buyer in writing, the Supplier may not transmit or furnish any RTA furnished drawings, or copies of such drawings, to anyone outside the Supplier's business organization except to a sub-tier source used by the Supplier for performance of work on the RTA contract.
- 7.3.4 RTA may request the Supplier to furnish objective evidence or certification that proprietary drawings have been purged. The Supplier shall flow down this requirement to all sub-tier sources when such sources will be in receipt of RTA proprietary drawings during performance of work for the Supplier.
- 7.3.5 The Supplier should have a business continuity plan which would allow for the safeguarding, storage, and recovery of engineering drawings.

8.0 Sub Tier Suppliers

8.1 Supplier Contract Obligations

- 8.1.1 The Supplier, as the recipient of the contract, is responsible for meeting all requirements, including work performed by the Supplier's sub-tier Suppliers (also known as Sub-Suppliers or subcontract(ed) Suppliers)
- 8.1.2 When the Supplier uses sub-tier sources to perform work on products and/or services scheduled for delivery to RTA, the

This copyrighted document is the property of RTA International, Inc. It is issued solely for use by RTA suppliers as a point of reference to assure continued quality of supply to RTA, and RTA customers. It is the supplier's responsibility to ensure that the most current version of this manual is retained on file at the supplier's premises, and any superseded versions are appropriately removed and destroyed. No unauthorized changes or releases of this document are allowed. All printed versions are deemed "uncontrolled".



Supplier shall include flow-down on contracts, to its sub-tier sources, all of the applicable technical and quality requirements contained in the RTA contract, including quality system requirements, regulatory requirements, the use of RTA designated sources, and the requirement to document and control 'key characteristics' and/or 'key processes,' and to furnish certifications and test reports as required.

8.2 Transfer of Work

- 8.2.1 RTA must be informed of all processes or transfer of work performed by the supplier or the supplier's sub-tier suppliers at Contract Review stage. This includes, planned transfers that are likely to take place during the term of the contract (i.e. before PO completion), transfers of work completed since the last PO was completed, and as soon as a transfer of work is identified during the period of a contract.
- 8.2.2 Transfers of work include significant changes to the manufacturing process, including new types of manufacturing machinery, changes in manufacturing location, significant changes in manufacturing process, and changes in sub-contracted supplier utilized to fulfil the contract.

9.0 Delivery Expectations

9.1 Performance

- 9.1.1 RTA quality and delivery targets are zero defect occurrence and 100% on time delivery. Any defect may result in rejection and return of defective product to the supplier (turnback). To be considered "performing" a supplier must maintain a minimum on time delivery of greater than 98% on time delivery and have a quality performance of not more than 3 turnbacks in any 6 month period or have a rolling six month average of no more than 500 DPPM.
- 9.1.2 RTA expects that the supplier will develop processes and procedures to prevent occurrence of defects and strive to continually improve on those processes.
- 9.1.3 Where suppliers consistently fail to meet minimum performance criteria a 3C or an 8D corrective action process will be initiated. Failure to improve may result in the disbarment of the supplier and the cancellation or cessation of new purchase orders.

This copyrighted document is the property of RTA International, Inc. It is issued solely for use by RTA suppliers as a point of reference to assure continued quality of supply to RTA, and RTA customers. It is the supplier's responsibility to ensure that the most current version of this manual is retained on file at the supplier's premises, and any superseded versions are appropriately removed and destroyed. No unauthorized changes or releases of this document are allowed. All printed versions are deemed "uncontrolled".



9.2 Minimum Documentation Requirements

- 9.2.1 International shipment paperwork should be emailed to shipping@rtaintl.com as soon as it is available for review. It is the supplier's responsibility to ensure the information is true, accurate, complete, and correct. Any charges, delays, or other costs incurred due to inaccurate or incomplete shipping paperwork will be borne by the supplier.
- 9.2.2 All product must be received with all of the required paperwork. These paperwork requirements must be established at the contract review stage of the supply process. Any query concerning material certificates, special processes and testing must be directed to the RTA Quality representative. Any items presented to RTA receiving or quality personnel that are not accompanied by the necessary documentation will not be received into stock and will be considered "in transit" until the required paperwork is supplied. Should the required paperwork not be presented as needed, RTA will reject the product as non-conforming (see section on non-conforming parts)
- 9.2.3 Minimum certificate of conformity requirements are listed in Section 12.3 and Appendix I of this SQM.
- 9.2.4 Minimum commercial invoice requirements are listed in Appendix II of this SQM.

9.3 Supplier Obligations

- 9.3.1 The hierarchy of obligations are: 1. Purchase Order, 2. Permit/Engineering Change Order, 3. Drawing/Model/Bill of Material. Verbal or written agreements outside of this process will not be accepted as legitimate authorization to deviate from contractual requirements.
- 9.3.2 The supplier is obliged to fulfil all requirements of the contract (PO) per RTA's Terms and Conditions. It is the supplier's responsibility to ensure that these have been obtained, read, and are understood.
- 9.3.3 The supplier shall acknowledge acceptance of the Purchase Order and provide a promise date for delivery of the order/service within 48 hours. This promised date may only be changed by agreement between the respective buyer and the supplier. RTA will use this date as the suppliers promise date. This date is used to evaluate the suppliers' ability to meet the agreed On-time delivery targets.
- 9.3.4 The Supplier must inform RTA of any delay in delivering product as soon as it is identified and provide a new dispatch/delivery date.
- 9.3.5 The Supplier is responsible for any additional transport costs to delivery product on time due to production/procurement delays.

This copyrighted document is the property of RTA International, Inc. It is issued solely for use by RTA suppliers as a point of reference to assure continued quality of supply to RTA, and RTA customers. It is the supplier's responsibility to ensure that the most current version of this manual is retained on file at the supplier's premises, and any superseded versions are appropriately removed and destroyed. No unauthorized changes or releases of this document are allowed. All printed versions are deemed "uncontrolled".



- 9.3.6 The supplier is responsible for covering any costs incurred by RTA either in paying expedite fees, priority shipping, or late delivery fines due to delivery delays caused by the supplier.

10.0 Supplier Monitoring

10.1 *Supplier Monitoring General Structure*

- 10.1.1 RTA Purchasing Department shall monitor suppliers by category, as described below.
- 10.1.2 Priority 1 Suppliers - Performance is monitored on a monthly basis which is recorded on a supplier scorecard. An annual quality survey is distributed and a possible on-site audit may also be conducted.
- 10.1.3 Priority 2 Suppliers - Performance is monitored annually during the annual supplier review. Supplier quality surveys are distributed at least once in a 24 month period.
- 10.1.4 Priority 3 and 4 Suppliers - Performance reviewed annually. Exempt from usual supplier monitors and surveys.
- 10.1.5 On time delivery and quality performance is monitored weekly with monthly summaries. Although Priority 1 suppliers receive specific focus and have minimum performance scorecard criteria applied, and supplier that exhibits repeated poor performance based on the same criteria (98% min OTD, 500DPPM Max or more than 3 escapes in 6 months) may be subjected to the same retain, develop (3C/8D) or exit process.

11.0 Packaging Requirements

11.1 *General Packaging Requirements*

- 11.1.1 The Supplier must adequately plan for packaging designed to prevent product contamination, deterioration, or loss and to eliminate shipping damage.
- 11.1.2 Suppliers should provide expendable packaging or returnable containers where appropriate, that provide for sufficient density and protection from any likely damage that may occur.
- 11.1.3 Expendable materials and packaging must meet local and national standards for safe disposal and/or recycling. Returnable containers must be inspected for cleanliness and cleaned appropriately to prevent debris or

This copyrighted document is the property of RTA International, Inc. It is issued solely for use by RTA suppliers as a point of reference to assure continued quality of supply to RTA, and RTA customers. It is the supplier's responsibility to ensure that the most current version of this manual is retained on file at the supplier's premises, and any superseded versions are appropriately removed and destroyed. No unauthorized changes or releases of this document are allowed. All printed versions are deemed "uncontrolled".



any contamination coming into contact with packaged product shipped to RTA (FOD prevention).

- 11.1.4 All wooden pallets must have been appropriately treated to the requirements as set out in “International Standards for Phytosanitary Measures” (ISPM15) by the International Plant Protection Convention (the IPPC).
- 11.1.5 Suppliers of metallic products must ensure that any paper used to wrap parts is acid free.
- 11.1.6 Every care must be taken to ensure that consignments are free of foreign objects (FOD). To this end the use of plastic or foam “peanuts” as packaging material is prohibited. Other sources of FOD include, but are not limited to: Dirt, dust, mixed parts, swarf, torn packaging/labels, tooling, grease or other unexpected substance, paint, moisture, and products of corrosion.

12.0 Documentation & Traceability.

12.1 General Documentation Requirements

- 12.1.1 As stated in 9.2.2, all shipments must be accompanied with all of the required documentation. Documentation requirements will be established during contract review and agreed at the time of purchase order acknowledgement. Any queries with regards what paperwork is required to support any shipment should be addressed with the RTA purchasing representative prior to order acceptance.
- 12.1.2 A certificate of compliance, signed and dated by an authorised person within the supplier organisation, is viewed as a minimum documentation requirement, unless otherwise agreed in writing by RTA’s Director of Quality. This does not apply to items purchased “across the counter” from consumer retail outlets. The certificate of conformity must contain trace information that permits RTA to identify any associated material lot, or special process certification. (See also Section 14.0)
- 12.1.3 First Article Inspection Reports (FAIRs) must be constructed around the latest revision of RTA Form 2010 (please contact the RTA buyer to ensure the latest version has been issued) and conform to the revision requirements of AS9102.
- 12.1.4 Material test reports must include verification of the material composition in relation to drawing requirements, conformity to specified standards, and show physical property performance where required.

This copyrighted document is the property of RTA International, Inc. It is issued solely for use by RTA suppliers as a point of reference to assure continued quality of supply to RTA, and RTA customers. It is the supplier’s responsibility to ensure that the most current version of this manual is retained on file at the supplier’s premises, and any superseded versions are appropriately removed and destroyed. No unauthorized changes or releases of this document are allowed. All printed versions are deemed “uncontrolled”.



12.1.5 Special process certificates must state the standard to which the special process is certified to where a required standard is stated on the associated drawing or purchase order.

12.1.6 Burn test certification must clearly show that the batch of material used meets the flammability requirements of the drawing. As a minimum this will be a 12 second vertical burn test to FAR 25.853a, however it must be noted that on occasion this test may also require smoke density and toxicity verification. UL94 is not acceptable unless specifically identified on the issued drawing or purchase order.

12.2 Document Retention

12.2.1 All original paperwork associated with material receipt shall be maintained on file in hardcopy and/or in electronic format for a minimum of ten years.

12.2.2 Paperwork shall include, as appropriate: receiving inspection reports, supplier packing slips, certificates of conformance, test reports, raw material certifications, a copy of the RTA Purchase Order the items were procured under and any other documents that serve to verify the conformity of the product or as traceability to the original manufacturing source.

12.2.3 When specified as part of a customer's order requirements, appropriate paperwork supporting the conformity of the product shall be included for delivery with the product or duplicates provided upon request.

12.3 Traceability Verification

12.3.1 The supplier must maintain full lot traceability throughout all steps of their manufacturing process including any outside processing and sub-contracted manufacture. All components must be traceable back to the receipt of raw materials.

12.3.2 Full lot trace information is considered "deliverable data" required by all RTA purchase orders for non-commercial product, and as such this data must be stated or identified on supplier documentation delivered with the product (CofC).

12.3.3 If not the manufacturer, the supplier should source and procure items directly from the original manufacturer or approved source / authorized distributor. NOTE: RTA may specify on the PO that a specified source must or must not be used. In such cases the original source of the product, and full chain of ownership is a mandatory data requirement for accompanying supplier documentation.

This copyrighted document is the property of RTA International, Inc. It is issued solely for use by RTA suppliers as a point of reference to assure continued quality of supply to RTA, and RTA customers. It is the supplier's responsibility to ensure that the most current version of this manual is retained on file at the supplier's premises, and any superseded versions are appropriately removed and destroyed. No unauthorized changes or releases of this document are allowed. All printed versions are deemed "uncontrolled".



- 12.3.4 For commercial grade and COTS items a formal CofC is not mandatory, however a commercially acceptable packing list is required. This document should identify at a minimum;
 - 12.3.4.1 The manufacturer,
 - 12.3.4.2 The distributor,
 - 12.3.4.3 The distributor PO number,
 - 12.3.4.4 Part Number
 - 12.3.4.5 Quantity
- 12.3.5 If providing materiel of a military or aerospace standard, a manufacturer's certificate of compliance to that standard may be required. In addition to the requirements of paragraph 12.2.3 above, this document should also contain at a minimum;
 - 12.3.5.1 Date and/or lot and/or heat codes for quantity of a commodity supplied.
- 12.3.6 Documentation from 12.2.3 will be maintained on file by RTA for a minimum of ten years and may also be supplied to the end customer with the associated items. Documentation from 12.2.4 will be maintained on file by RTA for a minimum of ten years and will be supplied to the end customer on each shipment.
- 12.3.7 Where a supplier such as an independent distributor is unable to provide the necessary level of traceability to the manufacturer (trace information may have been lost, not maintained, or was never made available), the supplier must disclose this lack of trace data to RTA procurement before accepting any associated purchase order from RTA. Failure to do so may render the associated PO null and void and be cause for rejection and return of any supplied product at the supplier's cost.

12.4 Certificate of Conformance (CofC).

- 12.4.1 All suppliers of non-commercial parts and material are required, as a minimum, to provide a written statement of conformity (also referred to as a certificate of conformity).
- 12.4.2 In addition to the trace requirements of section 12.2, the certificate must identify the specifications to which the product has been supplied, this may be;
 - 12.4.2.1 the catalogue part number of the item ordered,

This copyrighted document is the property of RTA International, Inc. It is issued solely for use by RTA suppliers as a point of reference to assure continued quality of supply to RTA, and RTA customers. It is the supplier's responsibility to ensure that the most current version of this manual is retained on file at the supplier's premises, and any superseded versions are appropriately removed and destroyed. No unauthorized changes or releases of this document are allowed. All printed versions are deemed "uncontrolled".



- 12.4.2.2 the part number and revision for components manufactured to a customer's drawing,
- 12.4.2.3 the military or aerospace standard reference, including revision level (if applicable) for military and aerospace grade hardware and COTS,
- 12.4.2.4 special process (see definitions) standards or specifications as stated by the purchase order, supplied drawing, or other product manufacturing information data contained within the order, this may include;
 - 12.4.2.4.1 customer specification documents, or
 - 12.4.2.4.2 international / industry standards
- 12.4.3 The CofC must also identify the lot to which it applies, this should be a production works order, or supplied batch number.
- 12.4.4 For items manufactured by a supplier the lot of raw material must be traceable to the CofC. This should be an explicit statement identifying the lot or batch of material (e.g. heat number(s) of metal, or batch of polycarbonate).
- 12.4.5 The supplier's Certificate of Conformity must reference any material supplied to them by RTA.
- 12.4.6 The supplier's C of C shall be signed and dated by an authorized person signifying that all products have met the requirements of the RTA purchase order including any drawings and/or specifications.
- 12.4.7 All deliveries must be supported with the supplier's C of C, the material certificate which includes the chemical and mechanical test results, C of C of any special processes which may also include test results or process documentation.
- 12.4.8 Appendix I has been included for quick reference on CofC requirements.

13.0 First Article Inspection

13.1 FAIR Requirements

- 13.1.1 Where the supplier is the manufacturer, the supplier is required to prepare a First Article Inspection Report (FAIR) for each component part or assembly supplied to RTA using RTA form 2010 if;

This copyrighted document is the property of RTA International, Inc. It is issued solely for use by RTA suppliers as a point of reference to assure continued quality of supply to RTA, and RTA customers. It is the supplier's responsibility to ensure that the most current version of this manual is retained on file at the supplier's premises, and any superseded versions are appropriately removed and destroyed. No unauthorized changes or releases of this document are allowed. All printed versions are deemed "uncontrolled".



13.1.2 It is the first time the item has been supplied by the supplier (first time buy, or a change in supplier)

13.1.3 There has been a significant process change as per;

13.1.3.1 New material;

13.1.3.2 New suppliers of existing material;

13.1.3.3 An Engineering Change made by the customer that affects previous FAI results;

13.1.3.4 A major change in the process for producing the material since the previous FAI (e.g., an article previously produced by a progressive or compound die and ram press is now produced by a laser cutter and control software);

13.1.3.5 A significant relocation of manufacture or tooling that can potentially affect form, fit or function (transfer of work).

13.1.4 A lapse in production of two years or more from a current source

13.1.5 In addition, a FAIR shall be required when specified by the customer or after a lapse in production for a period specified by the customer. For example, to comply with requirements of AS9102 a Customer may require a FAIR on a previously supplied item if there has been a break in production of more than two years. Normally this requirement would be indicated on the Suppliers purchase order.

13.1.6 NOTE1: If RTA holds stock from a lot accepted within the two-year period covered by an approved FAIR then this lot may be supplied without FAIR under customer approval. However, should additional lots need to be manufactured subsequent to this order the supplier must complete a new FAIR.

13.1.7 NOTE2: It is the supplier's responsibility to notify RTA if current stocks are exhausted. Items supplied against a purchase order requiring FAI from stock manufactured under a previously accepted FAI held by the supplier must be supplied with appropriate evidence of their status.

13.2 Preferred FAIR Format and Structure

13.2.1 The preferred submittal format for FAIR submission is using RTA Form 2010 as this allows for supplier, RTA, and customer results to be recorded on a single document. Alternative forms may be accepted at the discretion of RTA quality management.

This copyrighted document is the property of RTA International, Inc. It is issued solely for use by RTA suppliers as a point of reference to assure continued quality of supply to RTA, and RTA customers. It is the supplier's responsibility to ensure that the most current version of this manual is retained on file at the supplier's premises, and any superseded versions are appropriately removed and destroyed. No unauthorized changes or releases of this document are allowed. All printed versions are deemed "uncontrolled".



13.2.2 The preferred order of documents within the FAIR document pack is as follows:

- 13.2.2.1 Assembly FAIR Form 2010 (if applicable)
- 13.2.2.2 Assembly Permit (if applicable)
- 13.2.2.3 Assembly Drawing (if applicable)
- 13.2.2.4 Assembly Bill of Material (if applicable)
- 13.2.2.5 Detail Part Form 2010
- 13.2.2.6 Detail part Drawing
- 13.2.2.7 Detail Part permit (if applicable)
- 13.2.2.8 Detail Part Material Certificate
- 13.2.2.9 Detail Part Special Process Certificate(s)
- 13.2.2.10 Detail Part CofC
- 13.2.2.11 Assembly Part Special Process Certificate(s) (if applicable)
- 13.2.2.12 Assembly Part CofC / Packing Slip

13.2.3 Elements 13.2.2.5 to 13.2.2.10 are repeated as needed within the assembly FAIR if applicable.

13.2.4 FAIRs should be submitted electronically via email to qc@rtaintl.com as soon as they are available, and a hard copy included with the physical goods.

14.0 Inspection /Test Requirements

14.1 Inspection and Test General

14.1.1 Inspection and test shall be carried out in accordance with the RTA Purchase Order and related drawing / specification requirements.

14.1.2 The supplier must use equipment that is appropriate for the required tolerances and characteristics of the parts to be inspected / tested. Where appropriate the supplier will use measuring and test equipment that is calibrated and traceable to national standards.

14.2 Visual Inspection

14.2.1 If it is necessary to carry out “visual inspection only” then the criteria for this will be defined by RTA.

This copyrighted document is the property of RTA International, Inc. It is issued solely for use by RTA suppliers as a point of reference to assure continued quality of supply to RTA, and RTA customers. It is the supplier’s responsibility to ensure that the most current version of this manual is retained on file at the supplier’s premises, and any superseded versions are appropriately removed and destroyed. No unauthorized changes or releases of this document are allowed. All printed versions are deemed “uncontrolled”.



14.3 Dimensional Inspection / Material Testing

- 14.3.1 If the supplier does not have the necessary equipment to conduct the required inspection / tests, an accredited third-party inspection source may be used at the supplier's expense and at RTA's discretion.

15.0 PROCESS CONTROL

15.1 Special Characteristics

- 15.1.1 The Supplier shall demonstrate conformity to designated special characteristics through means of documentation and appropriate control methods. Appropriate control methods may include; non-destructive testing, or the testing of samples or "test coupons" that are representative of the lot being supplied.
- 15.1.2 In addition to any special characteristics identified by RTA, the Supplier shall also review, identify, document, and control other product and process characteristics that are key to achieving quality.

15.2 Error Proofing

- 15.2.1 Also referred to as mistake proofing and Poke-Yoke, RTA encourage suppliers to employ error-proofing devices and techniques as a form of process control where possible; especially for repetitive functions, difficult tasks prone to mistakes, or where the cost of error is high.

15.3 Work Instructions

- 15.3.1 The Supplier shall prepare documented work instructions, as necessary, for all employees having responsibilities for the operation of processes that impact product quality. These instructions shall be maintained current and accessible for use at the point of use.

15.4 Control of Monitoring and Measuring Devices

- 15.4.1 The Supplier shall determine the monitoring and measurement to be undertaken and the monitoring and measuring devices needed to provide evidence of conformity of product to determined requirements stated on the Purchase Order, and within supplied drawings and other specifications pertinent to the product or service. As a minimum, where necessary to ensure valid results, measuring equipment shall:
 - 15.4.1.1 be calibrated or verified at specified intervals, or prior to use, against measurement standards traceable to international or national measurement standards; where no such standards exist, the basis used for calibration or verification shall be recorded; and
 - 15.4.1.2 be identified to enable the calibration status to be determined.

This copyrighted document is the property of RTA International, Inc. It is issued solely for use by RTA suppliers as a point of reference to assure continued quality of supply to RTA, and RTA customers. It is the supplier's responsibility to ensure that the most current version of this manual is retained on file at the supplier's premises, and any superseded versions are appropriately removed and destroyed. No unauthorized changes or releases of this document are allowed. All printed versions are deemed "uncontrolled".



15.5 Preventive Measures

- 15.5.1 An uninterrupted, reliable supply is a core element of the RTA business model. The Supplier shall assess the risks associated with the quality of the product and the supplier's ability to supply the product on time in full per the conditions of the purchase order.
- 15.5.2 RTA recommend that suppliers identify key process equipment, personnel and other support activities and provide the necessary resources for machine/equipment maintenance activities, available staff competence, and alternative back up support services to develop an effective planned total preventive maintenance system.

15.6 Source Inspection

- 15.6.1 Supplier's products or services may be subject to source inspection by RTA, representatives of RTA or applicable government or regulatory agencies. Source inspection requirement will be included on the contract and may apply to any and all operations performed by the Supplier or the Supplier's sub-tier sources, including prior to delivery of products to RTA. The Supplier shall provide the necessary access, equipment and resources required to effectively accomplish the source inspection.

16.0 NON- CONFORMING PARTS

16.1 Control of Non-Conforming Material – General

- 16.1.1 RTA expect the supplier to establish controls to ensure that products that do not conform to our purchase order requirements are identified, segregated, dispositioned, and controlled to prevent inadvertent use.
- 16.1.2 All costs associated with non-conforming products, including handling, independent testing, material replacement, inspection, rework etc. may be charged back to the supplier.
- 16.1.3 If the supplier identifies a non-conformance with product or materials, and there is a risk that non-conforming product may have been supplied, then RTA must be notified immediately. Where the supplier acts proactively in such instances associated costs are likely to be mitigated and may not be passed back to the supplier.
- 16.1.4 Non-conforming or suspected non-conforming product must be effectively quarantined until such times as a final disposition is agreed. Effective quarantine conditions mean, as a minimum, that the quarantined parts are

This copyrighted document is the property of RTA International, Inc. It is issued solely for use by RTA suppliers as a point of reference to assure continued quality of supply to RTA, and RTA customers. It is the supplier's responsibility to ensure that the most current version of this manual is retained on file at the supplier's premises, and any superseded versions are appropriately removed and destroyed. No unauthorized changes or releases of this document are allowed. All printed versions are deemed "uncontrolled".



appropriately identified, segregated from known good stock, and that there is controlled access to the affected parts.

16.2 Authorization to Use Requests

- 16.2.1 A supplier must not knowingly ship non-conforming product to or on behalf of RTA without prior written authorization from RTA and/or RTA's customer. The supplier may request for a concession to accept non-conforming product in a "use as is" condition.
- 16.2.2 Supplier requests for a non-conformance permit, also known as a "deviation/waiver request" should be made using RTA Form 2028, or by completing the associated design authority's form. The request must stipulate a valid reason for the deviation, a complete description of the deviation, and the limits being applied (e.g. quantity, production lot, etc.). Where alternative materials or parts are being proposed relevant information in support of the application must be provided (e.g. material datasheets)
- 16.2.3 If requested by RTA, the Supplier must send samples of such nonconforming items to RTA for evaluation. The cost of shipping, inspection, and testing to determine the potential acceptability of such product will be charged to the Supplier.
- 16.2.4 RTA approval of a deviation is subject to the authorization of the design authority and is limited to the requested lot/quantity of the product specified on the deviation/waiver request and approval shall not to be construed as a permanent engineering change. Future orders / deliveries are expected to conform to requirements.
- 16.2.5 The Supplier must begin work immediately on corrective action, repeat deviation/waiver requests will not be accepted unless the supplier can prove extenuating circumstances, or the request is as a result of customer direction. In all cases, the Supplier shall fully contain all product suspected of being nonconforming.
- 16.2.6 Any parts shipped to RTA that have been approved for deviation shall be clearly identified as such externally on the box, container, or other packaging and on shipping documentation. The authorization reference must be stated on the supplier's CofC.
- 16.2.7 A copy of the RTA-approved deviation document shall be included inside of each box containing product affected by the permit.
- 16.2.8 Where the authorization has been issued retrospectively, i.e. in response to a turnback situation, the supplier should re-issue the CofC with the

This copyrighted document is the property of RTA International, Inc. It is issued solely for use by RTA suppliers as a point of reference to assure continued quality of supply to RTA, and RTA customers. It is the supplier's responsibility to ensure that the most current version of this manual is retained on file at the supplier's premises, and any superseded versions are appropriately removed and destroyed. No unauthorized changes or releases of this document are allowed. All printed versions are deemed "uncontrolled".



reference stated. If this is not possible it is acceptable for RTA to annotate the CofC.

16.2.9 FAIR requirements will remain where a FAIR is submitted with a permit.

16.3 Rework

16.3.1 RTA require that suppliers identify supplied product that has been subject to any additional work subsequent to original production. This includes:

16.3.2 Correction of a discrepancy on a previously submitted part;

16.3.2.1 Product modified by an engineering change to design records, specifications, or materials; or

16.3.2.2 Any planned changes by the Supplier to the design, process, or manufacturing location (transfer of work), such as:

16.3.2.3 Use of other material than was used in previously approved part or product.

16.3.2.4 Production from new, additional, replacement or modified tools, dies, moulds, patterns, etc.

16.3.2.5 Production following upgrade or rearrangement of existing tooling or equipment.

16.3.2.6 Production from tooling and equipment transferred to a different plant site or from an additional plant.

16.3.2.7 Change of sub-tier supplier for parts, non-equivalent materials, or services (e.g. Heat treating, plating etc.)

16.3.2.8 Product produced after tooling has been inactive for production for 12 months or more,

16.3.2.9 Change to test/inspection method- new technique (no effect on acceptance criteria)

16.3.3 For bulk materials: new source of raw material from new or existing Supplier, or change in product appearance attributes, etc.

16.3.4 Use of any non-conventional manufacturing methods such as electro-discharge machining (EDM), electro-chemical machining (ECM), laser or abrasive water jet metal cutting, flame spray coatings, etc.

16.4 Supplier Returns (RTV)

16.4.1 Nonconforming product may be returned to the Supplier at Supplier expense, or the Supplier may be required to sort any suspect product already shipped to RTA customers or be charged back for the cost of sorting by RTA.

This copyrighted document is the property of RTA International, Inc. It is issued solely for use by RTA suppliers as a point of reference to assure continued quality of supply to RTA, and RTA customers. It is the supplier's responsibility to ensure that the most current version of this manual is retained on file at the supplier's premises, and any superseded versions are appropriately removed and destroyed. No unauthorized changes or releases of this document are allowed. All printed versions are deemed "uncontrolled".



- 16.4.2 The process for RTV is mapped by the Material Review Board (MRB) process whereby if an item is rejected (turnback or escape) an NCR will be raised and assessed by the MRB team. If it is determined as being supplier liability a copy of the NCR will be sent to the supplier with a request for credit and an RMA (Return Material Authorization). RTA will process a purchase credit memo in the next three working days if no response is received and will either reopen the original PO or raise a new replacement PO to process replacements or reworked items.
- 16.4.3 If the supplier authorizes parts to be scrapped at the RTA customer's location, RTA will still deem this as having been returned to the supplier.

16.5 Containment

- 16.5.1 For product quality problems reported by RTA to the Supplier, until formal corrective action has been taken and approved, the Supplier shall provide documented evidence for the next three subsequent shipments that such product has been 100% inspected for the identified non-conformances and meets all applicable requirements.
- 16.5.2 For all product found to be non-conforming the following operations are required by the Supplier.
 - 16.5.2.1 Isolate - Containment of known and suspect lots/containers of non-conforming product and isolation from normal production. All affected parts at RTA will be put in a QA holding area for third party (RTA approved) inspection process.
 - 16.5.2.2 Protect - 100% redundant inspection of all related inventory at supplier's location(s), in-transit, at third party or customer location and RTA (if any). A "Clean Point" shipment will be clearly identified as 100% certified stock both externally to each container/box and internally to each container/box.
 - 16.5.2.3 Eliminate - The Supplier performs a deep dive root cause analysis, implements corrective and preventive action to eliminate recurrence of nonconforming parts.

16.6 Root Cause Corrective Action

- 16.6.1 Where a quality problem is identified as the result of a turnback, in addition to the containment described above, RTA will expect the supplier to complete an internal root cause corrective action to prevent recurrence.
- 16.6.2 Where the quality problem recurs (i.e. a repeat turnback), the issue affects a key characteristic, is safety related, represents a significant delivery impact (e.g. missed on dock date), has a major financial impact, or the issue has resulted in an escape to RTA's customer, RTA will issue the Supplier a Non-Conformance Report (NCR) as notification of non-conforming product

This copyrighted document is the property of RTA International, Inc. It is issued solely for use by RTA suppliers as a point of reference to assure continued quality of supply to RTA, and RTA customers. It is the supplier's responsibility to ensure that the most current version of this manual is retained on file at the supplier's premises, and any superseded versions are appropriately removed and destroyed. No unauthorized changes or releases of this document are allowed. All printed versions are deemed "uncontrolled".



or other supply discrepancy and may include the request for completion of either a 3C or an 8D Corrective Action Report request.

- 16.6.3 When a reply is requested (whether hard copy or electronic media), the Supplier shall use RTA Form 2024 for a 3C and 2024-Series for an 8D.
- 16.6.4 RTA encourage the use of the “5 Why” and other analysis tools such as process flow diagrams, turtle diagrams, fishbone cause and effect diagrams, Process Failure Mode and Effects Analysis (PFMEA), Gage R&R, and “Is/Is Not” Analysis to assist in ensuring that the true root cause of the issue has been identified. Once the root cause has been determined RTA expect the supplier to identify:
 - 16.6.4.1 Why it was not detected by the Suppliers quality controls, and
 - 16.6.4.2 Why the related process, from a systemic viewpoint, allowed the non-conformance (and potentially others like it) to occur.
 - 16.6.4.3 If there are any other products and/or processes affected by a common root cause.
- 16.6.5 At the end of the root cause analysis the supplier needs to be confident that the identified root cause:
 - 16.6.5.1 initiates and causes the event you are seeking to explain.
 - 16.6.5.2 is directly controllable.
 - 16.6.5.3 If eliminated will result in the elimination of the problem.
- 16.6.6 Once confident that the true root cause has been identified the supplier must implement an action plan that effectively corrects the process to ensure that no further non-conformances can be generated. The action must directly affect the identified root cause. Statements from the Supplier indicating that the corrective action is to alert or retrain the operator, and/or increase inspections alone, are NOT acceptable as corrective actions. This type of approach is based on increasing the level of reaction once a defect has occurred, it does not prevent defects from recurring, therefore such actions would be considered insufficient in that they do not address the real underlying root cause(s) of why the Supplier's policy, instructions, process, procedure, and/or system allowed the problem to develop and occur undetected by existing quality controls.
- 16.6.7 Finally, the supplier must identify when the corrective action is effective from and how the effectiveness of the corrective action was or will be determined. This may be by completing a test to try and replicate the nonconformity under new control conditions or additional process monitors (e.g. SPC).
- 16.6.8 Unless otherwise requested by RTA, the Supplier shall respond to a request for corrective action (CAPA) as follows:

This copyrighted document is the property of RTA International, Inc. It is issued solely for use by RTA suppliers as a point of reference to assure continued quality of supply to RTA, and RTA customers. It is the supplier's responsibility to ensure that the most current version of this manual is retained on file at the supplier's premises, and any superseded versions are appropriately removed and destroyed. No unauthorized changes or releases of this document are allowed. All printed versions are deemed “uncontrolled”.



- 16.6.8.1 The Supplier shall promptly acknowledge receipt of notification and communicate to the RTA contact within 24 Hrs, the immediate containment actions to be taken.
- 16.6.8.2 To protect RTA, the Supplier shall provide an update of the containment plan within 72 hours during the interim period. This update must include:
 - 16.6.8.2.1 Confirmation that the Supplier has identified all suspect product in process, in stock, in transit, and potentially at any RTA customer by lot number, RTA contract /P.O. number, and quantity.
 - 16.6.8.2.2 Additional specific containment actions needed to be taken by the Supplier and/or RTA
- 16.6.8.3 The Supplier must submit the completed corrective action (3C/8D) form within 10 business days indicating the root cause, permanent actions implemented (with effective dates), or to be implemented (with timeline), to prevent recurrence of the same or similar problem. For 8D corrective actions an extended timeline may be agreed with RTA Quality Management.

17.0 RTA SUPPLIER COLLABORATION PROGRAM.

17.1 Program Overview

- 17.1.1 As part of RTA's lean philosophy, the company is developing relationships with suppliers who have achieved excellent quality ratings (a history of zero defects and on time delivery in full above 99%) to allow products to move directly from dock to stock, or to the point of use. Benefits to RTA include reduced costs associated with inspection; benefits to the supplier include preference within the bid process, and preferential payment terms.
- 17.1.2 Suppliers will be invited to take part in the DTS program based initially on scorecard performance. Suppliers achieving 100% scorecard performance for a full 12 months shall be eligible for consideration to the program. Accessibility and travel restrictions permitting, the process will involve an on-site assessment that will pay particular attention to the value-add processes and their associated controls within the organization. If travel or access restrictions prohibit an on-site audit, the Director of Quality may elect to use a remote audit / interview platform. Evidence of process effectiveness and continual improvement will be examined. The assessment will result in one of three results:
 - 17.1.2.1 No change in supplier relationship

This copyrighted document is the property of RTA International, Inc. It is issued solely for use by RTA suppliers as a point of reference to assure continued quality of supply to RTA, and RTA customers. It is the supplier's responsibility to ensure that the most current version of this manual is retained on file at the supplier's premises, and any superseded versions are appropriately removed and destroyed. No unauthorized changes or releases of this document are allowed. All printed versions are deemed "uncontrolled".



- 17.1.2.2 Recommendation for a dock to stock relationship once any non-conformities or areas for improvement have been addressed.
- 17.1.2.3 Recommendation for DTS. The recommendation will be submitted to RTA Purchasing and Senior Management for approval. If approved a DTS stamp will be issued to the supplier. This stamp will be used to mark dispatch notes originating from that supplier.
- 17.1.3 DTS (Dock-to-Stock) applies to material and components released for production or supply that ship to a particular RTA customer. All receipts will be checked for paperwork and certification requirements, but dimensional checks will be waived.
- 17.1.4 RTA will periodically select shipments at random as part of the ongoing monitoring of the process. RTA may also need to perform further site visits to requalify DTS suppliers. The supplier agrees not to deny reasonable requests for access made by RTA in this regard. RTA reserves the right to inspect any product upon receipt or at any other time, due to criticality or any other factor, or cancel the program without notice.

17.2 Program Review

- 17.2.1 The DTS agreement will be subject to immediate review, suspension, or termination should:
- 17.2.2 The DTS consignment be cause for a customer NCR/CAPA
- 17.2.3 Supplier quality and on time in full delivery consistently fall below required minimum standards (3 month continuous trend, or more than 4 instances in a six month period).
- 17.2.4 The supplier is found to be in breach of any of the agreed terms and conditions as laid out in this document, RTA terms and conditions, and any associated purchase order. This includes confidentiality agreements.
- 17.2.5 The supplier is found guilty of any statutory or regulatory offence. This includes knowingly supplying counterfeit or suspect material which constitutes an act of fraud.
- 17.2.6 DTS is not without limitation. DTS does not apply to direct shipments from subcontracted manufacturers for instance. First Articles will be subject to a “paper check” and will still require approval prior to items progressing to stock or the end customer.

This copyrighted document is the property of RTA International, Inc. It is issued solely for use by RTA suppliers as a point of reference to assure continued quality of supply to RTA, and RTA customers. It is the supplier’s responsibility to ensure that the most current version of this manual is retained on file at the supplier’s premises, and any superseded versions are appropriately removed and destroyed. No unauthorized changes or releases of this document are allowed. All printed versions are deemed “uncontrolled”.



18.0 APPLICABLE DOCUMENTS

- 18.1 Form 2001 Supplier Quality Capability Assessment
- 18.2 Form 2003 Supplier Requirements Acknowledgement Form
- 18.3 Form 2010 FAIR and guidance notes
- 18.4 Form 2014 Terms and Conditions
- 18.4 Form 2018 Supplier Performance Scorecard
- 18.5 Form 2019 Non-Disclosure Agreement
- 18.5 Form 2024-1 3C Corrective Action Record
- 18.6 Form 2024-Series 8D Corrective Action
- 18.7 Form 2028 Deviation Request Form
- 18.8 Form 2033 Non-Conformance Report (NCR)

This copyrighted document is the property of RTA International, Inc. It is issued solely for use by RTA suppliers as a point of reference to assure continued quality of supply to RTA, and RTA customers. It is the supplier's responsibility to ensure that the most current version of this manual is retained on file at the supplier's premises, and any superseded versions are appropriately removed and destroyed. No unauthorized changes or releases of this document are allowed. All printed versions are deemed "uncontrolled".



19.0 Revision Control

Section(s)	Revision	Change Description	Date
All	Initial Release	Initial Release	01/22/2016
4.1, 5.0, 6.1, 7.1, 9.2, 16.2, 12, 13, 16	A	Added product integrity to code of ethics. Expanded definitions to include customer verbiage. Added supplier requirements to supplier approval process. Updated contract review requirements to include expanded shipping requirements and to include incoterms. Added the requirement for suppliers to provide advanced shipping notification and paperwork and highlighted their responsibility to ensure shipping document accuracy for international shipments. Added the use of customer forms for deviation approvals. Document retention requirements incorporated into section 12. FAIR requirements expanded. Nonconformance management section largely re-written and restructured to provide greater clarity on approval requests, the corrective action process and the RTV process. Appendices added to provide concise direction on CofC content and Commercial Invoice content. Supplier collaboration process revised and clarified. Entrance criteria stipulated. Minimum sustained performance criteria clarified. Remote assessment added. Document re-formatted.	05/24/2021

This copyrighted document is the property of RTA International, Inc. It is issued solely for use by RTA suppliers as a point of reference to assure continued quality of supply to RTA, and RTA customers. It is the supplier's responsibility to ensure that the most current version of this manual is retained on file at the supplier's premises, and any superseded versions are appropriately removed and destroyed. No unauthorized changes or releases of this document are allowed. All printed versions are deemed "uncontrolled".



Appendix I – Certificate of Compliance Content Requirements

- Supplier Name
- Supplier’s Physical Address (including country of manufacture)
- RTA Company that generated the PO and its address.
- RTA PO Reference
- Date of shipment
- RTA PO Line Item Number (if applicable)
- Part Number
- Supplier part reference (if different to part number stated previously)
- Part Name (as identified on the supplied print or per the RTA PO)
- Part Revision Level per the RTA PO
- Lot or batch reference
- Serial number range (if applicable)
- Quantity of Parts Shipped (by lot/batch)
- Material certificate reference (e.g. heat number or material test report reference) if applicable.
- Expiry date (if item is of limited shelf life)
- Name and Signature of Authorized Representative
- List of Special Processes Accomplished Including:
 - Description of Process Performed
 - Source of Process (Outside Process Supplier)
 - Results of Processing as applicable
 - Unique Process Certificate Number

This copyrighted document is the property of RTA International, Inc. It is issued solely for use by RTA suppliers as a point of reference to assure continued quality of supply to RTA, and RTA customers. It is the supplier’s responsibility to ensure that the most current version of this manual is retained on file at the supplier’s premises, and any superseded versions are appropriately removed and destroyed. No unauthorized changes or releases of this document are allowed. All printed versions are deemed “uncontrolled”.



Appendix II – Commercial Invoice Content Requirements

Field	Guidance
Shipped from	The shipping site, company name, address, and contact number.
Shipper/Exporter	The company that is exporting, so may be different to the “shipped from”.
CPC Code	Customs Procedural Code
Authorization Code	This is needed if a special customs procedure has been called for, e.g. IPR.
Date of dispatch	The date the goods are shipped.
Consignee PO	This is the RTA purchase order number.
Shipping Agent	The company with primary responsibility for physically moving the goods.
Authorized By	This should be the name of the buyer associated with the Consignee PO stated previously.
Incoterms	See RTA purchasing for what incoterms have been agreed for the shipment. This reference dictates who is responsible for what during the shipment, including making import/export entry declarations.
EORI/Tax Ref	Required for RTA sites in the UK.
Freight costs	Identify responsibility per the incoterms agreed.
Duties and Taxes	Identify responsibility per the incoterms agreed.
Quantity Handling Units	Boxes, cartons, or pallets, whatever the unit is that the shipping agent has been tasked with handling.
Gross Weight	The total weight of the shipment, including packaging.
Freight Cost	The cost charged by the shipping agent, including any insurances paid.
Hazardous Goods	Hazardous goods must be indicated / highlighted on the invoice (if applicable)
Ship to address	The destination where the goods will be delivered.
ATTN	Identify the person or function at the destination site who is aware of the shipment.
Consignee/End User/IOR	Per the incoterms, the company responsible for purchasing and importing the goods.
Completed by	Identify the individual completing the commercial invoice who can be contacted should there be any queries.

This copyrighted document is the property of RTA International, Inc. It is issued solely for use by RTA suppliers as a point of reference to assure continued quality of supply to RTA, and RTA customers. It is the supplier’s responsibility to ensure that the most current version of this manual is retained on file at the supplier’s premises, and any superseded versions are appropriately removed and destroyed. No unauthorized changes or releases of this document are allowed. All printed versions are deemed “uncontrolled”.