



QP-843
Information for External Providers

Release Date

Revision

Page 1 of 11

06/05/2023

E



Quality Procedure
QP-843
Information for External Providers

QP-843 Approval

On File

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President

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QP-843
Information for External Providers

Release Date

Revision

Page 2 of 11

06/05/2023

E

Table of Contents

| | |
|---|-----------|
| 1. PURPOSE | 3 |
| 1.1 GENERAL | 3 |
| 1.2 APPLICATION | 3 |
| 1.3 RESPONSIBILITY FOR IMPLEMENTATION | 3 |
| 1.4 DEFINITIONS | 3 |
| 2. PROVISIONS | 3 |
| 2.1 GENERAL | 3 |
| P1 Flow Down of Requirements | 3 |
| P2 Quality Managements Systems (QMS) | 3 |
| P3 Changes Notification | 3 |
| P4 Quality Planning | 4 |
| P5 Qualification of Personnel | 4 |
| P6 Sampling Plans | 4 |
| P7 Identification and Traceability | 4 |
| P8 Control of Monitoring and Measuring Resources | 4 |
| P9 Preservation of Product | 4 |
| P10 External Provider Performance | 5 |
| P11 Nonconforming Product | 5 |
| P12 Nonconforming Product Disposition | 5 |
| P13 Corrective Action | 5 |
| P14 Certificate of Conformance | 6 |
| P15 Retention of Documented Information | 6 |
| P16 Right of Access | 7 |
| P17 Source Inspection | 7 |
| P18 DFARS Compliance | 7 |
| P19 First Article Inspection | 7 |
| P20 Synthetic Rubber Products | 8 |
| P21 Castings Test Specimens | 8 |
| P22 Forgings Test Specimens | 8 |
| P23 Conflict Minerals "The Dodd-Frank Wall Street and Consumer Act" | 8 |
| P24 Counterfeit Materiel Prevention | 9 |
| P25 Federal Acquisition Regulation | 9 |
| 3. REVISION HISTORY | 11 |



QP-843
Information for External Providers

Release Date

Revision

Page 3 of 11

06/05/2023

E

INFORMATION FOR EXTERNAL PROVIDERS – REQUIREMENTS

1. PURPOSE

1.1 General

Apex Manufacturing Co., Inc. (Apex) 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 Apex'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 Apex.

1.3 Responsibility for Implementation

- a) Apex Management Team
- b) Purchasing Process
- c) Production & 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 Apex. 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, Apex 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 shall maintain a QMS in compliance with an International Organization for Standardization (ISO), Aerospace Standard (AS) or Military Standard-equivalent QMS acceptable to Apex 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 Apex of changes to processes, products, or services, including changes of their external providers or location of manufacture, and where required, obtain Apex approval.



QP-843
Information for External Providers

Release Date

Revision

Page 4 of 11

06/05/2023

E

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 Apex.

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.

Apex 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 Apex in order to maintain conformity to requirements.



QP-843
Information for External Providers

Release Date

Revision

Page 5 of 11

06/05/2023

E

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 expected to meet conformity requirements, as flowed down on the Purchase Order, as well as on-time delivery requirements (i.e., due date), as stated on the Purchase Order. External providers performance are assessed semi-annually for both conformity (of product, process, and/or service) and on-time delivery.

When applicable, external providers not meeting external provider performance requirements will be issued a corrective action and may be relegated to “Disapproved” 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 Apex’s Quality Manager/Designee, if the nonconformity results in a departure from the contract requirements. The disposition received from Apex Quality Manager/Designee shall include approval by an authorized representative of the organization responsible for design or by persons having delegated authority from the design organization, and authorization by Apex’s customer.

When applicable, upon disposition of nonconforming product, involved parties shall be notified within 72 hours. Involved parties can include Apex, 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.



QP-843
Information for External Providers

Release Date

Revision

Page 6 of 11

06/05/2023

E

P14 Certificate of Conformance

Supplier shall provide a Certificate of Conformance with each shipment including, when applicable, certifications issued by sub-tier external providers. The certifications and test reports supplied as evidence of purchase order fulfillment must be in English and, at a minimum, shall contain:

- The products and/or services supplied
- Apex's 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 is required to fulfill purchase order requirement(s) utilizing the latest configuration at the time of production. The external provider may opt to not include the configuration level in the Certificate of Conformance. However, Apex encourages all external providers to enter the applicable configuration levels on all supplied certifications and test reports.
- 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 fifteen (15) 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
 - Apex shall be notified prior to destruction of any documented information and offered the option to transfer to Apex 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.



QP-843
Information for External Providers

Release Date

Revision

Page 7 of 11

06/05/2023

E

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 Apex, 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 Source Inspection

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

Source inspection acceptance by Apex 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 Apex 48 hours in advance when order is ready for source inspection.

If government agencies select evaluation is being delegated on a purchase order, it will be signified by the Government agency's acceptance stamp on purchase order and application of the following statement:

"On receipt of this order, promptly furnish a copy to the government representative who normally services your plant, or, if none, to the nearest Defense Supply Agency Inspection office. In the event that a representative or office cannot be located, the Apex should be notified immediately."

The external provider is required to hold all materials at external provider's facility until completion of select evaluation at which time the external provider may ship to Apex or call for source inspection, if not completed.

P18 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>

P19 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,



QP-843
Information for External Providers

Release Date

Revision

Page 8 of 11

06/05/2023

E

manufacturing process changes, tooling changes). First article inspection may be accomplished in accordance with the requirements of AS9102 or equivalent.

P20 Synthetic Rubber Products

Each package of synthetic rubber products shall be marked with date of cure, shelf life, expiration date, compound number, part number, quantity, purchase order, drawing and/or specification. Cure on "O" rings shipped to APEX shall be within the limits imposed by MIL-HDBK-695 and/or Apex's purchase order. Items which have shelf life limitations shall have at least 5/6 of the shelf life remaining upon receipt at Apex unless modified by purchase order.

- a) Packing of Synthetic Rubber Products: Rubber products shall be packaged in a manner to minimize deterioration due to such factors as temperature, humidity, ozone, sunlight, oils, solvents, corrosive liquids and fumes, insects and rodents.
- b) Original Copy of Test Reports: Supplier shall provide original copy of test report covering the full range of required military specification conformance tests.

P21 Castings Test Specimens

When applicable, the Supplier shall furnish the following with each shipment of castings:

- a) Mechanical Properties: Test bars produced from the same heat of material as the forgings supplied. The quantity of test bars to be submitted shall be specified on the purchase order, drawing or specification. Specimens shall conform to Federal Test Standard Number 151. Test bars shall be permanently identified with the external providers' name or trademark, melt/heat number, heat treat lot number and alloy identification.
- b) Chemical Composition: One (1) spectrographic disc representative of the entire melt. The disc shall be permanently identified with the external provider's name or trademark, melt/heat number, heat treat lot number and alloy identification.

P22 Forgings Test Specimens

When applicable, the Supplier shall furnish the following with each shipment of forgings:

- a) Mechanical Properties: Test produced from the same heat of material as the forgings supplied. The quantity of test bars to be submitted shall be as specified on the purchase order, drawing or specification. Specimens shall conform to Federal Test Standard Number 151. Test bars shall be permanently identified with the external provider's name or trademark, melt/heat number, heat treat lot number, alloy identification and must have the same percentage of reduction as the parts supplied.
- b) Grain Flow: For aluminum forgings, the grain flow requirements of MIL-A-22771 are to be met.

P23 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. Apex 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



QP-843
Information for External Providers

Release Date

Revision

Page 9 of 11

06/05/2023

E

minerals aid in financing the ongoing conflict in the Democratic Republic of Congo (DRC) and the surrounding countries.

P24 Counterfeit Materiel Prevention

Supplier shall establish and maintain a Counterfeit Materiel Prevention and Control Plan per AS6174 (Section 3) to ensure counterfeit materiel is not delivered to Apex.

- a) Supplier agrees and shall ensure that counterfeit materiel has not been delivered and shall ensure that only new and authentic materials are used in materiel delivered to Apex.
- b) Supplier shall only purchase materiel directly from original manufacturers, manufacturer franchised distributors, or authorized aftermarket manufacturers.
- c) Supplier shall maintain a method of commodity and item level traceability that ensures tracking of the supply chain back to the manufacturer of all materiel being delivered per this order, including the manufacturer's commodity or item level identification for the item(s) such as date codes, lot codes, heat codes, serializations, unique item identifiers, or batch identifications.
- d) Supplier shall immediately notify Apex 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.
- e) Supplier shall include this clause or equivalent provisions in lower tier subcontracts for the delivery of items that will be included in or furnished to Apex.

P25 Federal Acquisition Regulation

Unless otherwise stated, external provider shall implement the following requirements identified by reference as applicable to the issued purchase order. A full text of the requirement identified by reference may be accessed electronically at <http://farsite.hill.af.mil/> or by contacting Apex.

- 252.203-7000 REQUIREMENTS RELATING TO COMPENSATION OF FORMER DOD OFFICIALS – DFARS
- 252.203-7002 REQUIREMENT TO INFORM EMPLOYEES OF WHISTLEBLOWER RIGHTS – DFARS
- 52.204-13 SYSTEM FOR AWARD MANAGEMENT MAINTENANCE – FAR
- 252.204-7000 DISCLOSURE OF INFORMATION – DFARS
- 252.204-7003 CONTROL OF GOVERNMENT PERSONNEL WORK PRODUCT – DFARS
- 252.204-7004 ALTERNATE A, SYSTEM FOR AWRD MANAGEMENT – DFARS
- 252.204-7012 SAFEGUARDING OF UNCLASSIFIED CONTROLLED TECHNICAL INFORMATION – DFARS



QP-843
Information for External Providers

Release Date

Revision

Page 10 of 11

06/05/2023

E

- 52.209-06 PROTECTING THE GOVERNMENT'S INTEREST WHEN SUBCONTRACTING WITH CONTRACTORS DEBARRED, SUSPENDED, OR PROPOSED FOR SUSPENSION – FAR
- 252.209-7010 CRITICAL SAFETY ITEMS – DFARS
- 52.211-05 MATERIAL REQUIREMENTS – FAR
- 252.211-7003 ITEM IDENTIFICATION AND VALUATION – DFARS
- 252.211-7005 SUBSTITUTIONS FOR MILITARY OR FEDERAL SPECIFICATIONS AND STANDARDS – DFARS
- 252.211-7008 USE OF GOVERNMENT-ASSIGNED SERIAL NUMBERS – DFARS
- 52.211-9000 GOVERNMENT SURPLUS MATERIAL – DLAD
- 52.211-9005 CONDITIONS FOR EVALUATION AND ACCEPTANCE OF OFFERS FOR CRITICAL SAFETY ITEMS – DLAD
- 52.211-9006 CHANGES IN CONTRACTOR STATUS, ITEM ACQUIRED, AND/OR MANUFACTURING PROCESS/FACILITY - CRITICAL SAFETY ITEMS – DLAD
- 52.211-9007 WITHHOLDING OF MATERIEL REVIEW BOARD (MRB) AUTHORITY - CRITICAL SAFETY ITEMS – DLAD
- 52.215-08 ORDER OF PRECEDENCE - UNIFORM CONTRACT FORMAT – FAR
- 52.216-9022 PLACEMENT OF TASK/DELIVERY ORDERS AGAINST MULTIPLE INDEFINITE DELIVERY CONTRACTS – DLAD
- 52.219-06 NOTICE OF TOTAL SMALL BUSINESS SET-ASIDE – FAR
- 252.225-7001 BUY AMERICAN ACT AND BALANCE OF PAYMENTS PROGRAM – DFARS
- 252.225-7002 QUALIFYING COUNTRY SOURCES AS SUBCONTRACTORS – DFARS
- 52.232-23 ASSIGNMENT OF CLAIMS – FAR
- 700252.211-9019 REDUCED DELIVERY SCHEDULE APPLIES WHEN FIRST ARTICLE TESTING REQUIREMENTS ARE WAIVED – DLAD
- 52.222-50 COMBATTING TRAFFICKING IN PERSONS – FAR
- 52.223-18 ENCOURAGING CONTRACTOR POLICIES TO BAN TEXT MESSAGING WHILE DRIVING – FAR
- 52.223-9002 ANTI-STAIN TREATMENT (UNTREATED WOOD PRODUCTS) – DLAD
- 52.225-13 RESTRICTIONS ON CERTAIN FOREIGN PURCHASES – FAR
- 52.232-25 PROMPT PAYMENT – FAR
- 252.232-7003 ELECTRONIC SUBMISSION OF PAYMENT REQUESTS AND RECEIVING REPORTS – DFARS
- 252.232-7010 LEVIES ON CONTRACT PAYMENTS – DFARS



QP-843
Information for External Providers

Release Date

Revision

Page 11 of 11

06/05/2023

E

- 52.222-19 CHILD LABOR - COOPERATION WITH AUTHORITIES AND REMEDIES – FAR
- 52.222-21 PROHIBITION OF SEGREGATED FACILITIES – FAR
- 52.222-26 EQUAL OPPORTUNITY – FAR
- 52.222-36 AFFIRMATIVE ACTION FOR WORKERS WITH DISABILITIES – FAR
- 52.246-2 INSPECTION OF SUPPLIES, FIXED PRICE – FAR

3. REVISION HISTORY

| Revision | Date | Revision Record |
|----------|------------|---|
| A | 11/14/2015 | Initial issue. |
| B | 02/12/2016 | Updated P-14 and P-24. |
| C | 09/01/2017 | Was: QP-742 Supplier Purchase Order Provisions; Is: QP-843 Information for External Providers Fully updated in accordance with the requirements of AS9100:2016. |
| D | 07/23/2021 | Purchase Order Provision P10 updated. |
| E | 06/05/2023 | Updated term from “supplier” to “external provider” throughout the entire document. Updated P14 to expand requirements for certificate of conformance. |