

ULTRA ELECTRONICS COMMAND AND SONAR SYSTEMS

OPERATING STANDARD

QUALITY CONTROL REQUIREMENTS FOR SUBCONTRACTORS

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1.0 **Abbreviations**

▪ UECSS	Ultra Electronics Command and Sonar Systems
▪ FAI	First Article Inspection
▪ OS	Operating Standard
▪ OSF	Operating Standard Form
▪ PO	Purchase Order
▪ C of C	Certificate of Conformance/Conformity
▪ GFE	Government Funded Equipment
▪ CFE	Customer Funded Equipment
▪ NDT	None Destructive Testing
▪ MoD	Ministry of Defence
▪ FIFO	First In First Out
▪ 8D	Eight Discipline
▪ UKAS	United Kingdom Accreditation Service
▪ TAA	Technical Assistance Agreement
▪ NDA	Non-Disclosure Agreement
▪ ROHS	Restriction Of Hazardous Substances
▪ WEEE	Waste Electrical and Electronic Equipment
▪ REACH	Registration, Evaluation, Authorization and Restriction of Chemicals
▪ PPS	Practical Problem Solving
▪ NCR	Non-Conforming Report
▪ OEM	Original Equipment Manufacturer
▪ OCM	Original Component Manufacturer
▪ WI	Work Instruction
▪ NIST	National Institute of Standards & Technology
▪ C of CT	Certificate of Conformity & Traceability
▪ PEC	Printed Electronic Circuit
▪ PCB	Printed Circuit Board

2.0 **Associated / Referenced Specifications or documents**

- ISO9001 – Quality Management System
- ISO14001 – Environmental Management System
- ISO27001 – Information Security Management
- OSF1050 – New Supplier/Assessment Request Form
- OSF1061 – Vendor Assessment Report
- OSF1062 – Re-Assessment Form
- OS710 – Quality Control Requirements for Subcontractors
- IPC/JEDEC J-STD 033 - Handling, Packing, Shipping and Use of Moisture/Reflow Sensitive Surface Mount Devices
- IPC-A-610, IPC-620 and IPC-7711/7721 standards. Acceptability of electronic assemblies at Class 3 for Dedicated Service Electronic Products
- RoHS and WEEE Directives and REACH
- BS EN 61340 Electrostatics. Protection of electronic devices from electrostatic phenomena. General requirements
- IPC-A_600 – Acceptability of Printed Boards
- OS567A – UECSS GFE / CFE process
- ITAR – US Dept of State International Traffic in Arms Regulations
- IDEA –STD_1010B – Acceptability of Electronic Components Distributed in the Open Market
- Def Stan 05-99 - Managing Government Furnished Equipment in Industry
- IEC 62402:2007: Obsolescence management - Application Guide
- WI2536, Material and Finishes Specifications – Old to New Equivalents
- WI2531, Surface and Paint Finishes
- AQAP 2110 – NATO Quality Assurance Requirements For Design, Development And Production

3.0 Scope

The purpose of this document is to formally communicate Ultra Electronics Command & Sonar Systems (UECSS) Quality requirements to the supply chain.

This document supersedes any previously issued UECSS OS710, Quality Control Requirements for Subcontractors.

Requirements of AQAP-2110 are flowed down through the supply chain via OS710.

4.0 Definitions

In this OS710, Quality Control Requirements for Subcontractors, the terms "shall" and "must" mean that the described action is mandatory; "should" means that the described action is necessary and expected with some flexibility allowed in the method of compliance; and "may" means that the described action is permissible or discretionary.

The term "Supplier" means vendor, supplier of goods, service provider, sub-contractor and distributor.

Questions concerning this manual should be directed to your respective UECSS Buyer or the UECSS Quality Manager.

5.0 Ultra Electronics Command & Sonar Systems (UECSS)

An operating business of Ultra Electronics, Ultra Electronics Command & Sonar Systems (UECSS) is an electronics manufacturing business holding ISO9001, ISO14001 and ISO27001 accreditation for industry sectors demanding high reliability product primarily within Defence.

For a more detailed view on what UECSS please visit our company website.

6.0 Supply of Goods & Services

Goods and services provided by our Suppliers have a key impact on the quality of the products, solutions and services we offer our customers. To maintain a high level of quality, we are determined to establish and maintain close and long-lasting relationships with our Suppliers.

UECSS Terms and Conditions of trade *shall* apply to all contracts unless otherwise agreed.

7.0 Quality Management System Requirements (QMS)

7.1 Minimum Quality Requirement

The minimum quality requirement for suppliers of goods and services to UECSS shall be QMS certification to ISO9001 by a UKAS (or equivalent) accredited certification body that is a member or signatory of the International Accreditation Forum (IAF).

Self-certification or non-accredited certification shall not qualify.

This minimum requirement guarantees the Supplier has put in place a consistent QMS able to satisfy our basic needs.

7.2 Special Processes

A special process is a process that generates outputs that cannot be measured, monitored, or verified until it's too late. Deficiencies may not be detected until after products are in use.

In order to prevent output deficiencies, special processes must be periodically validated in order to prove that they can generate planned results.

7.3 Exceptions

Requirement exceptions for Suppliers that do not meet the minimum quality certification shall be authorised on the basis of:

1. The Supplier is mandated by our Customer.
2. The Supplier is the manufacturer of a single sourced product mandated by our Customer.
3. The Supplier is the only distributor of a product mandated by our Customer.
4. The Supplier provides goods or services that have no direct or indirect effect on the goods and services we provide our Customer.

Where the above criteria cannot be met, depending on the product, its application, value and criticality, special authorisation may be granted where evidence of compliance can be provided. This may include UECSS audit to a set of alternative basic quality requirements.

7.4 Specifications and Standards

It shall be the responsibility of suppliers to obtain, review, work to and maintain current issues of specifications and standards from appropriate sources.

7.5 Record Retention Requirement

Suppliers should retain records relating to processing, testing, calibration, manufacture, supply, traceability and certification. This will be governed by the suppliers' internal processes unless otherwise stated by UECSS as part of any contractual agreement with the UECSS Customer.

8.0 Additional Flow-Down Requirements

Additional requirements shall only apply when explicitly stated on the PO or other documentation associated with the contract. It shall be the supplier's responsibility to ensure the latest issue of all relevant documents are controlled and adhered to where applicable.

8.1 Quality Plans

Where required suppliers shall submit a Quality Plan which describes the framework in which the contract will be accomplished and is subject to approval by UECSS Quality Department. The Quality Plan is considered as the key document which shall define all relevant standards and procedures to ensure that work is completed successfully to the required level of quality. The supplier must ensure that their own personnel are aware of the existence, purpose and content of the Quality Plan.

9.0 Competence, Training and Awareness

The supplier shall ensure personnel processing orders or performing work affecting conformity to product or service are trained and aware of the relevance and importance of their activities in relation to meeting the requirements of UECSS PO's and associated documentation.

10.0 Control of Sub-Tier Suppliers

The Supplier, as the recipient of the contract, shall be responsible for meeting all requirements, including work performed by the Supplier's subcontract Suppliers.

10.1 Sub-Contracted Orders

Where the supplier intends to sub-contract work or service normally undertaken by the supplier, a written agreement shall be in place between UECSS and the supplier indicating the reason for the sub-contract and the sub-tier sub-contractor to be used. Unless otherwise agreed, a quality plan shall be submitted to UECSS in accordance with para 8.1.

10.2 Sub-Tier Flow Down

When the Supplier uses sub-tier sources to perform work on products and/or services scheduled for delivery to UECSS, the Supplier shall include (flow-down) on contracts, to its sub-tier sources, all of the applicable technical and quality requirements contained in the UECSS contract, including quality system requirements, regulatory requirements, the use of UECSS designated sources, and the requirement to document and control 'key characteristics' and/or 'key processes,' and to furnish certifications and test reports as required.

UECSS Representatives, Customers and/or End Users shall be allowed access to the Sub-Supplier's plant and facilities for the purpose of surveillance and inspection.

11.0 Supplier Approval

11.1 Accreditation, Certification and Approvals

Current and potential suppliers to UECSS shall provide written confirmation and objective evidence of third party certification and approvals. These will then be uploaded to Q-Pulse by UECSS.

11.2 Scope of Approval

Suppliers shall inform UECSS Quality Department if they are requested to work outside their scope of approval.

11.3 Site Visits and Supplier Audits

Where appropriate, suppliers may be subject to on-site audit and / or site visit by UECSS Quality and/or Purchasing Representatives. This requirement is also extended out to UECSS Customers.

In some instances UECSS will be unable raise a PO until supplier approval has been granted. Scheduled verification audits, site visits and business meetings shall be supported when required by the relevant UECSS functions.

11.4 Supporting Documentation

Documents required to complete the supplier approval process are:

1. Vendor Assessment Report, OSF 1061
2. Re-Assessment Form, OSF 1062
3. New Supplier/Assessment Request Form, OSF1050.
4. Accreditation certification
5. Approval documentation
6. Supplier audit report if required (UECSS to complete)
7. Confidentiality or NDA if applicable
8. Inclusion on a TAA if applicable

11.4.1 Vendor Assessment Report

Suppliers shall complete OSF 1061, Vendor Assessment Report, and review frequently. Any changes in management, Supplier status including scope of company activity, product, service or accreditation and approval shall require an updated questionnaire to be completed.

11.4.2 Certification & Supporting Documentation

Supplier certification ISO9001 shall be uploaded and maintained in date by the supplier. In addition any other supporting documentation may be uploaded.

12.0 Legislation

Conformity to RoHS and WEEE Directives and REACH regulations are carried out at the UECSS selection process. Subcontractors shall therefore be responsible that all parts comply with selection criteria and that appropriate segregation is maintained.

13.0 Non-Conformances and Corrective Actions

13.1 Root Cause Analysis & Corrective Action/Preventive Action (RCA/CAPA)

When non-conformances occur the supplier must perform RCA and CAPA activities to prevent recurrence of the problem.

For non-conforming product, Suppliers shall:

1. Generate an 8D Report, completed to and including stage 3, Containment Actions, within 48 hours of notification of the non-conformity.
2. Complete to stage 6, Implement Corrective & Preventive Actions, within 10 working days.
3. Submit into UECSS within 20 working days, a completed 8D Report.
4. 8D Reports are to be closed out by the supplier in conjunction with the UECSS Quality Department.
5. 8D Reports are the preferred UECSS PPS tool however UECSS will accept 5Y Analysis as long as it covers; root cause, why the issue wasn't detected and the systematic failure.

13.2 Returning of Rejected Parts.

Parts being rejected back to a supplier should be clearly identified by UECSS personnel and a copy of the relevant NCR should accompany said parts. The more information UECSS can give the supplier the better, for example photographs of defective component, physically marking components to show defective areas, any results whether they be dimensional or test etcetera.

13.3 Returning of Reworked Parts.

Parts that are reworked by the supplier should be clearly identified both at a part level and at a delivery level. This identification should meet the following minimum requirements:

1. Delivery paperwork references the UECSS rejection number.
2. Parts are individually tagged to state UECSS rejection number, nature of rework, inspection method.
3. Actual physical delivery is identified as being reworked and references the UECSS rejection number.

13.4 Replacement Parts

Any replacement parts should be in accordance with the relevant drawings and specifications.

13.5 Credit Notes

If parts cannot be reworked and replacement parts are not available then UECSS will request that the supplier issues a credit note to cover material costs as a minimum.

14.0 Identification and Traceability

Traceability is a basic requirement unless agreed in writing. Suppliers shall provide documentation that includes batch numbers, lot codes and where relevant date codes and serial numbers of goods provided.

If traceability to the OEM lot/date code information is required then the Supplier shall ensure this requirement is met prior to delivery of goods.

In-order to aid the traceability requirement the supplier should maintain a FIFO system. This will ensure that older material is used first and aids the containment of issues relating to older product.

15.0 Certification

Certification refers to any document that states the goods or services meet or conform to specification or PO requirements, a C of C shall accompany each delivery.

These include, but are not limited to; Certificates of Conformance, Certificate of Analysis, Certificate of Attestation and Certificate of Calibration. The certifying document shall be deemed as an authorised contractual guarantee that the goods and services reference on the certificate meet drawing, specifications, technical data and PO requirements.

15.1 Minimum Information Requirement

The following data/information shall be included on each certification document.

1. Unique Certificate Number/Identifier.
2. Certification Date.
3. PO number.
4. Drawing number and / or part number and revision.
5. Batch unique identifier (Batch number / Lot number / Date code).
6. Quantity.
7. Supplier Name and Address.
8. Statement that goods and / or services conform to the specified requirements.
9. Original Manufacturer's name, part number and lot / date code (when the supplier is not the manufacturer of the supplied goods).
10. Name of authorised certifying quality representative or company official.

15.2 Calibration and Test Certification

In addition, calibration and test certification shall include:

1. Calibration / test specification including tolerances and criteria.
2. Calibrated test apparatus / instrument / standard used traceable to NIST or equivalent.
3. Test results.
4. Pass or fail or equivalent statement of conformance / non-conformance.

16.0 First Article Inspection (FAI)

The purpose of carrying out an FAI is to give objective evidence that all engineering, design and specification requirements are correctly understood, accounted for, verified and recorded. UECSS will communicate all FAIR requirements via a PO.

16.1 Submission

The process of generating a full or partial FAI shall be performed when:

1. The part being ordered is a new part for UECSS and/or the supplier.
2. A change in design, affecting fit, form or function of the product.
3. A change of manufacturing source, process, inspection method, location of manufacture, tooling or materials that can affect fit, form or function.
4. An event that can affect the manufacturing process (natural or man-made).
5. A lapse in production for a period of 2 years or as specified by the customer.

When FAI is required, the report should accompany the parts into UECSS.

16.2 Documentation

The First Article Inspection Report (FAIR) should be based around the following 3 forms – see appendix 1 of this document.

1. Form 1 - 'Part Number Accountability' shall be used to summarise associated part numbers and associated FAIs for Assemblies.
2. Form 2: 'Product Accountability' shall be used for raw materials, specifications, processes and functional tests.
3. Form 3: 'Characteristic Accountability' shall be used to summarise actual specific design characteristics. Each characteristic shall have its own unique characteristic number and this number shall be marked on the relevant drawing/specification document. Characteristics not measurable in the final product shall be verified in the manufacturing process.

16.2.1 The minimum documentation required for FAIR:

1. Forms 1, 2 & 3 as above to head each stage of the FAIR documentation pack.
2. Supplier Certificate of Conformity (this will reference any UECSS concession numbers as well as FAI numbers from UECSS and the supplier).
3. Certificates of Conformity for all items/materials used to make product supplied to UECSS.
4. Any subcontractor FAI reports, if applicable.
5. Source Inspection Report (if applicable).
6. Applicable concessions.
7. Dimensional report.
8. Balloon print, if UECSS have requested one (this supports any dimensional report).
9. Copy of the UECSS Drawings.
10. Test Results, where applicable.
11. Copy of the PO

17.0 Product Preservation

The supplier shall preserve the product during internal processing and delivery to the intended destination.

17.1 Workmanship Acceptance Criteria

Unless otherwise stated, the following workmanship acceptance criteria shall be used; Supplied product with surface finishes for functional or cosmetic applications shall be smooth, adherent, uniform in appearance, free from blisters, pits, nodules, scratches and other defects. This includes but is not limited to electroplated, conversion coated, anodised, painted, mechanically finished and passivated surfaces. See para 19.1 for details of reference documents.

Suppliers of assembled electrical/electronic parts to UECSS shall provide a level of workmanship which meets or exceeds IPC-A_600, IPC-A-610, IPC-620, and IPC-7711/7721 standards. Acceptability of Electronic Assemblies at Class 3 for Dedicated Service Electronic Products.

PECs and PCBs shall be cleaned to the IPC 610 Class 3 Standard.

17.2 Moisture Sensitive Level (MSL)

Moisture sensitive components shall be packaged in accordance with IPC/JEDEC J-STD 033 - Handling, Packing, Shipping and Use of Moisture/Reflow Sensitive Surface Mount Devices.

The Moisture Sensitivity Level (MSL) must be clearly identified on the outer packaging.

17.3 Electrostatic Discharge (ESD)

Where appropriate, suppliers shall provide adequate protection measures against ESD damage to goods and UECCS property.

This should be in accordance with MIL-STD-1686: 'Electrostatic Discharge Control Program for Protection of Electrical and Electronic Parts, Assemblies and Equipment (excluding electrically initiated Explosive Devices)' or ANSI/ESD S20.20: 'ESD Association Standard For the Development of an Electrostatic

Discharge Control Program for – Protection of Electrical and Electronic Parts, Assemblies and Equipment (Excluding Electrically Initiated Explosive Devices)'.

Electronic Components shall be handled, packaged and supplied in accordance with BS EN 61340-5-1: Electrostatics. Protection of electronic devices from electrostatic phenomena. General requirements.

17.4 Shelf Life

Products with finite shelf life shall have the expiry date identified on the product and the delivery documentation. The remaining shelf life must be a minimum of 75% of the total shelf life for the material at time of delivery.

17.5 Packaging

The Supplier shall adequately plan for packaging designed to prevent product contamination, deterioration, damage or loss.

Suppliers should provide expendable packaging or returnable containers, where appropriate, of sufficient density and protection from likely damage that may occur.

Mechanical and electromechanical parts should be packaged with anti-static material where possible. The use of approved industry standard labelling and bar-coding shall be in accordance with any contractually agreed packaging specification.

18.0 GFE / CFE

For some contracts UECCS, its customer or the MoD may provide equipment in support of that contract.

All GFE equipment shall be maintained by supplier in accordance with Def Stan 05-99. Also OS567A, GFE/CFE process refers

If no other requirement is advised in the contract, the supplier, for the time that this equipment is on loan shall:

1. Mark the equipment in an appropriate manner in order to identify it.
2. Maintain a record of it and its location and the owner whilst it is on site
3. As a minimum, annually carry out an audit of the equipment checking its condition and location. Once carried out the supplier must contact the relevant UECCS representative and advise that this has been carried out successfully.

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4. Allow access to the equipment by UECCS, its customer or the MOD at any time.
5. Accept responsibility including financial (should it be damaged or go missing) during the loan period.
6. Advise UECCS at any time that it is identified the equipment has gone missing.
7. Store and Maintain the equipment in good working order for the duration of the loan period.

19.0 Counterfeit Product Prevention

The Subcontractor shall ensure that counterfeit parts are not used in support of a UECCS Contract.

The control and verification of this aspect should be considered as part of the verification of purchased product and is therefore the responsibility and liability of the Sub Contractor.

As guidance the minimum steps to ensure only authentic parts are used could include:

1. Use of Franchised Distributors only.
2. Develop and follow a Counterfeit Electronic Parts Control Plan.
3. A Register of approved suppliers that are the only ones used.
4. Use of C of C and where applicable C of CTs for Electronic Components.
5. Supply Chain Traceability.
6. The use of Authentication testing both NDT and Destructive tests.
7. Contact with the OCM to check if parts received are Authentic.
8. Components within assemblies shall be less than two years old as per industry best practice.

Best practice guidance can be found in IDEA-STD-1010-B: Acceptability of Electronic Components Distributed in the Open Market

Parts identified as suspect or Counterfeit shall be marked as such, quarantined and disposed of in a suitable manner.

20.0 Obsolescence Management

Obsolescence as defined in the International Standard IEC 62402:2007: 'Obsolescence management - Application Guide' is the 'transition from availability from the original manufacturer to unavailability' and Obsolescence Management is 'the co-ordinated activities to direct and control an organisation with regard to obsolescence'.

The suppliers shall notify UECCS of any pending obsolescence, the relevant last time buy date and last time ship date at least 6 months prior to the last time buy date.

20.1 Metal & Surface Finish Specifications

As part of Product Development & Lifecycle materials do become obsolete and occasionally are still referenced on UECCS drawings.

WI2536, Material and Finishes Specifications – Old to New Equivalents and WI2531, Surface and Paint Finishes are to be referred to when quoting for business as part of the contract review process.

21.0 International Traffic in Arms Regulations (ITAR)

ITAR technical data must only be shared with third-party suppliers who have:

1. Been approved by the owner of the ITAR technical data.
2. Confirmed in writing (e.g. hardcopy letter, email with return address header) that they are authorized to receive such data and they understand the implications of and requirements for handling ITAR technical data.

Principally where data is identified as subject to ITAR, restrictions apply to the control, handling and monitoring of such data. Only authorised personnel shall have access to restricted data. Restricted data

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shall be controlled in such a way as to prevent unauthorized transmission or access. Suppliers that require ITAR data shall have a procedure in place for the control, handling and monitoring of such data.

21.1 Non-Disclosure Agreement (NDA)

UECSS reserve the right to withhold sensitive programmatic information from a Supplier until such time as an agreed NDA is established between all concerned parties.

21.2 Sub-tier Suppliers

Sub-tier suppliers and sub-contractors used by the supplier that have access to any ITAR data must be authorized and identified on the TAA with an NDA in place.

21.3 Communication of ITAR Technical Data

1. Voicemail shall not be used for ITAR technical data. Voicemail may be used for non-technical messages associated with ITAR projects (e.g., announcements of project meetings).
2. Instant messaging shall not be used to transmit ITAR technical data.
3. ITAR technical data may be transmitted by telephone or through conference calls if previously authorized by the owner.
4. Email shall not be used for ITAR technical data unless a prior written agreement subject to security encryption measures is in place.

21.4 Computer Equipment

The use of standalone secured computers is recommended for storing ITAR technical data.

The use of networked computers for storing ITAR technical data may be permitted providing prior written agreement subject to security encryption measures is in place.

Offsite storage of ITAR Technical Data for the purposes of storage or archival backup is not permitted unless specifically authorized by the owner of the data.

21.5 Deliveries

Delivery items shall not have any exterior labelling indicating that the contents are subject to ITAR.

21.6 Disposal of ITAR Data and Products

Hard-copy ITAR documentation that is no longer needed must be disposed of in shredder bins or confidential material disposal bins. Scrap products and components shall be destroyed, rendered unusable and unrecoverable and specific disposal sanctioned by UECSS.

21.7 Violations

Violations or suspected violations of the ITAR shall be reported to the UECSS Procurement Manager and Commercial Manager immediately.

22.0 Distributors

Distributors shall be franchised unless otherwise agreed in writing. A franchised distributor shall have a contractual agreement with an OCM or OEM to buy, stock, re-package, sell and distribute its product lines.

23.0 Concessions

It is the policy of UECSS not to accept a product that fails to meet the required specifications. All concessions shall be considered as non-conforming product.

23.1 Approval

Concessions must be approved by UECSS and approval received by the supplier prior to delivery of parts to UECSS. The UECSS concession number must be annotated on to the suppliers' delivery paperwork.

The concession must state the deviation requested, the relevant UECCS PO, part number and description, quantity affected and any recovery action for future deliveries - see Appendix 2.

24.0 Delivery on Time In Full (OTIF)

Suppliers shall supply conforming goods and services on time in full including all required correct documentation and certification where applicable.

24.1 Late Deliveries

If non-delivery or late deliveries are anticipated, suppliers shall immediately notify the buyer indicated on the PO. Delays can cause line or operation interruption.

24.2 Short Orders

If short are anticipated, suppliers shall immediately notify the buyer indicated on the PO. Short orders can cause line or operation interruption.

24.3 Liquidated Damages

UECSS, will occasionally, reserve the right to claim liquidated damages due to Supplier delivery issues. This is very much viewed as a last resort as our expectations will be that the Supplier delivers to the required Quality On Time in Full.

Appendix 2 – Example Of A Concession (for content requirements only)

CONCESSION REQUEST			
To be completed by Vendor			
Project Name :		Concession Req.No. :	
Date Initiated :		Project No. :	
Vendor Name :		Location :	
P.O / RFQ No. :		Vendor Identification No. :	
Description of Deviation / Query Requested (define all attachments) :			
<div style="display: flex; justify-content: space-between; align-items: center;"> <input type="checkbox"/> Routine <input type="checkbox"/> Urgent (please refer next page for definitions and instructions) </div>			
Proposed Action (define all attachments) :			
Effect on Cost :		Effect on Delivery :	
Effect on Quality :		Effect on Weight :	
Requested By (name / position) :			
Signature :		Date :	
To be completed by Requisitioning Engineer			
Comments / Recommendations by Requisitioning Engineer :			
Engineering Decision			
<input type="checkbox"/> Accept <input type="checkbox"/> Accept (with comments) <input type="checkbox"/> Reject <input type="checkbox"/> Revision to Purchase Order			
Requisitioning Engineer	QA Manager	Project Manager	Client Approval (as required)
Date :	Date :	Date :	Date :