

ASQR-01 FORMS MANAGEMENT			
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APPROVAL SIGNATURE PAGE



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## REVISIONS

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**APPENDICES**

Appendix A. Guidelines for completion of ASQR-01 Form 3

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**1. PURPOSE**

The intention of this procedure is to provide common requirements for receipt and processing of supplier communications using the ASQR-01 Forms provided on the UTC Supplier Website, located at:

<http://www.utc.com/Suppliers/Pages/Aerospace-Supplier-Quality-Requirement-Documents.aspx>

**2. SCOPE**

This document applies to all suppliers, and to Collins personnel/departments as defined in Table I.

**3. REFERENCE DOCUMENTS**

(a)	ASQR-01	Supplier Quality System Requirements
(b)	ASQR-01 Form 2	Supplier Process Change Notification
(c)	ASQR-01 Form 3	Supplier Communication
(d)	ASQR-01 Form 4	Work Transitions
(e)	ASQR-01 Form 6	Notification of Potential Quality Escape
(f)	COL-ASQR-PRO-0003	Supplier Quality Common Supplier Requirements
(g)	COL-PRO-0030	Supplier Request and Notification Management Process
(h)	COL-WRK-0009	Processing Notifications of Potential Quality Escapes

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#### 4. DEFINITIONS

- (a) Supplier Communications – formal communication process to be used by supplier to provide notifications and requests via submitting ASQR-01 Forms.
- (b) Signature for review/approval – Table I in this document defines who is responsible in which communication aspect to sign the ASQR-01 Forms based on the type of request.
- (c) NOPQE – Notification Of Potential Quality Escape
- (d) SQE – Supplier Quality Engineer

#### 5. RESPONSIBILITIES

- (a) Supplier Quality is responsible to ensure all requirements defined within this document are reviewed and acceptable. Supplier Quality is responsible for ensuring ASQR-01 forms are filled out correctly and communicated back to the supplier upon review, and for saving copies of the ASQR-01 forms in the supplier's ASL file for future reviews and archive information.
- (b) Supply Chain, Quality Assurance, & Engineering (Design/Process/Manufacturing) are responsible for supporting the ASQR-01 forms as needed by providing feedback and guidance to suppliers, and will include any applicable engineering change request numbers. Suggested guidelines for assignment of responsibilities are included in Table I of this standard.

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**6. REQUIREMENTS**

- (a) ASQR-01 Form 2 – Supplier Process Change Notification: Completed by the supplier and sent to the SQE prior to implementation of any change that may affect quality and/or product fit, form or function, including but not limited to changes in:
- (1) Company ownership, name, address, or management
  - (2) A design characteristic
  - (3) Manufacturing or assembly processes
  - (4) Tooling
  - (5) Inspection method
  - (6) Materials
  - (7) Obsolescence

**NOTE:** Instructions for completing Form 2 are provided within the form.

- (b) ASQR-01 Form 3 – Supplier Communication: Completed by the supplier and sent to the SQE for all formal communications and requests with respect to Collins and supplier specific quality requirements, including but not limited to:
- (1) Clarification, interpretation, or error with a drawing, specification, or requirement
  - (2) Request approval of an alternate method to satisfy a quality system requirement
  - (3) Notification of a change in the supplier's certification, registration, or accreditation (to be reported within 48 hours of receiving notification of the change)

**NOTE 1:** See Appendix A of this standard for guidance on the completion of Form 3.

**NOTE 2:** ASQR-01 Form 3 is used for communication only. It is not used for disposition of product nonconformities associated with MRB / Deviation / Rework requests.

- (c) ASQR-01 Form 4 – Work Transitions: This form is used for notifying Collins of supplier planned work transfers within the supplier's supply chain (e.g., from one supplier facility to another, from the supplier to a member of its supply chain, from one member of its supply chain to another). Work transfers also include changes from/to distribution or change of a manufacturer by a distributor, whether temporarily or permanently. Instructions for completing Form 4 are provided within the form.
- (d) ASQR-01 Form 6 – Notification Of Potential Quality Escape: Completed by the supplier and sent to the SQE within 24 hours of discovery of suspected nonconforming product having been shipped. Instructions for completing Form 6 are provided within the form.

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**7. PROCESS**

- (a) Supplier submits ASQR-01 Form (Form 2, 3, 4, or 6) to the Collins SQE. The SQE will verify the form for correctness and completeness, and incomplete or improperly completed forms will be returned to the supplier for update/correction.
- (b) The SQE shall enter the form submittal into the ASQR-01 Forms Log. The SQE will create a V1 Quality Notification (QN) in SAP and attach the associated form submittal to the QN.
- (c) Form 2 will be saved to the suppliers ASL folder, no tracking is required other than in the V1 QN.
- (d) Forms 3, 4 and/or 6 shall be updated using the QN number as the tracking number, which will also be used as the tracking number in the log.
- (e) The SQE will monitor the ASQR Forms Log to ensure that responses and feedback to the supplier are provided in a timely manner. For items pending review more than 10 business days, the issue will be escalated to the respective member supervisor for status updates.
- (f) The SQE shall determine if the form submittal requires the involvement of engineering, supply chain, and/or quality to provide the response as defined in Table 1, and will assign tasks in the V1 QN to the responsible team. If the supplier's request / issue can be resolved by the SQE without the involvement of other teams, the SQE will execute the above.
- (g) The respondent (the SQE or the responsible team) shall:
  - (1) Provide the required response
  - (2) Complete the approval section as applicable to the form
  - (3) Review the export classification and reclassify as appropriate
  - (4) Return the completed form to the SQE
  - (5) Close assigned QN tasks as they are completed
- (h) For Form 3 responses:
  - (1) The respondent will complete and sign the form in field 14.
  - (2) If the response will affect pricing or contracts, a buyer's signature is required in field 15.
  - (3) If the SQE is not the respondent and a buyer's signature is not required per the above, the SQE may sign the form in field 15.
  - (4) If the SQE is the respondent and a buyers signature is not required per the above, either the buyer or a different SQE may sign the form in field 15.

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- (i) The SQE will update the ASQR-01 Forms Log, attach the completed form to the V1 QN, and close the V1 QN.
- (j) The SQE will then return the completed form to supplier via email and archive the form in the supplier's ASL Folder.

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Table I. Guidelines for determining Supplier Communications owner(s) – this will be who signs the ASQR-01 form.

<b>Engineering (Design/Product/Manufacturing)</b>	<b>Supplier Quality / Quality Assurance</b>	<b>Purchasing / Buyer</b>
All Supplier Communications associated with requests for clarifications, interpretation, and/or changes in technical requirements (blueprints, specifications, processes, etc.).	All Supplier Communications relating to requests for clarification or changes in quality flow down, changes in processes affecting quality compliance, or an alternate method of satisfying a quality requirement.	All Supplier Communications relating to changes or clarifications to bid or purchase order terms and conditions, modifications to purchase order delivery, requests for short/excess shipments.
All Supplier Communications associated with product processing changes.	All Supplier Notifications of Potential Quality Escapes.	All Supplier Communications relating to transportation methods for shipping materials.

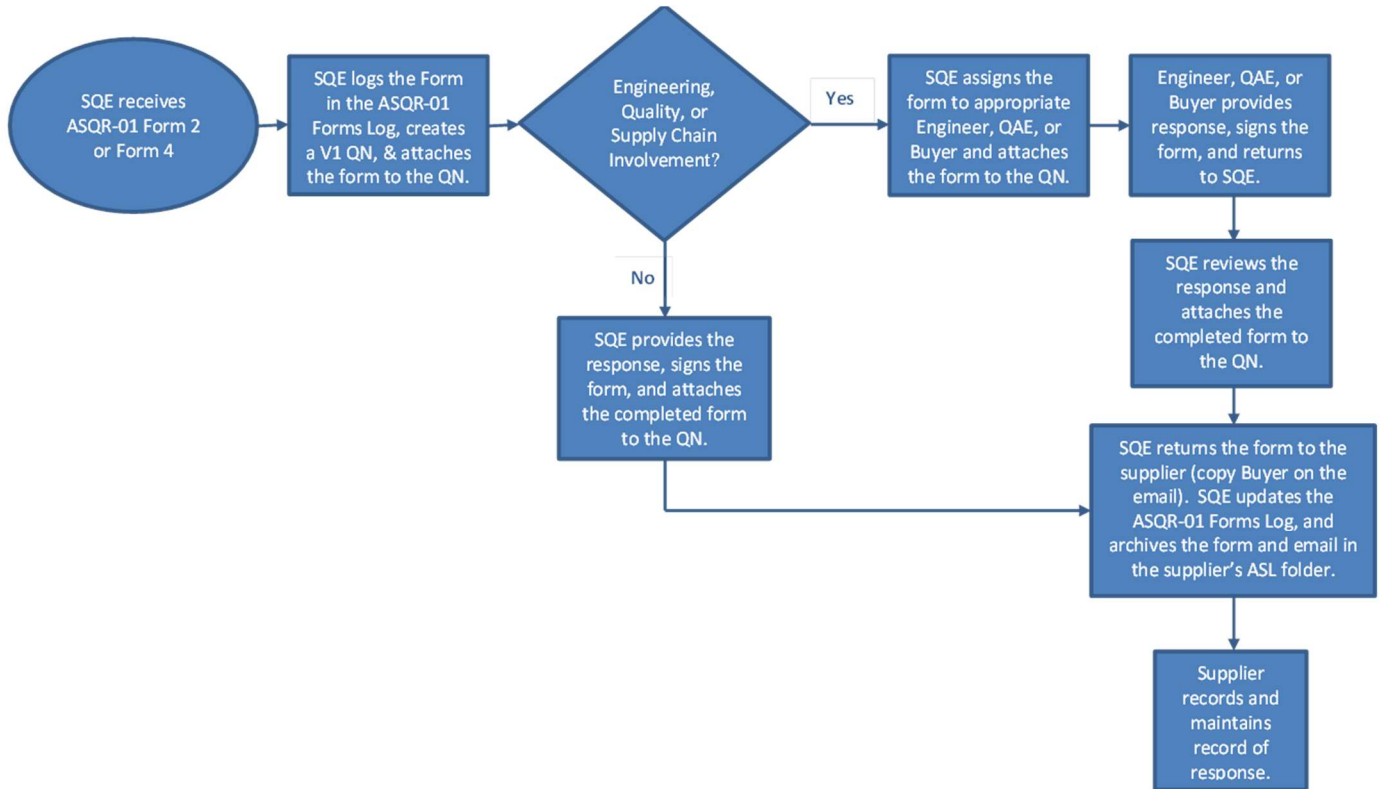
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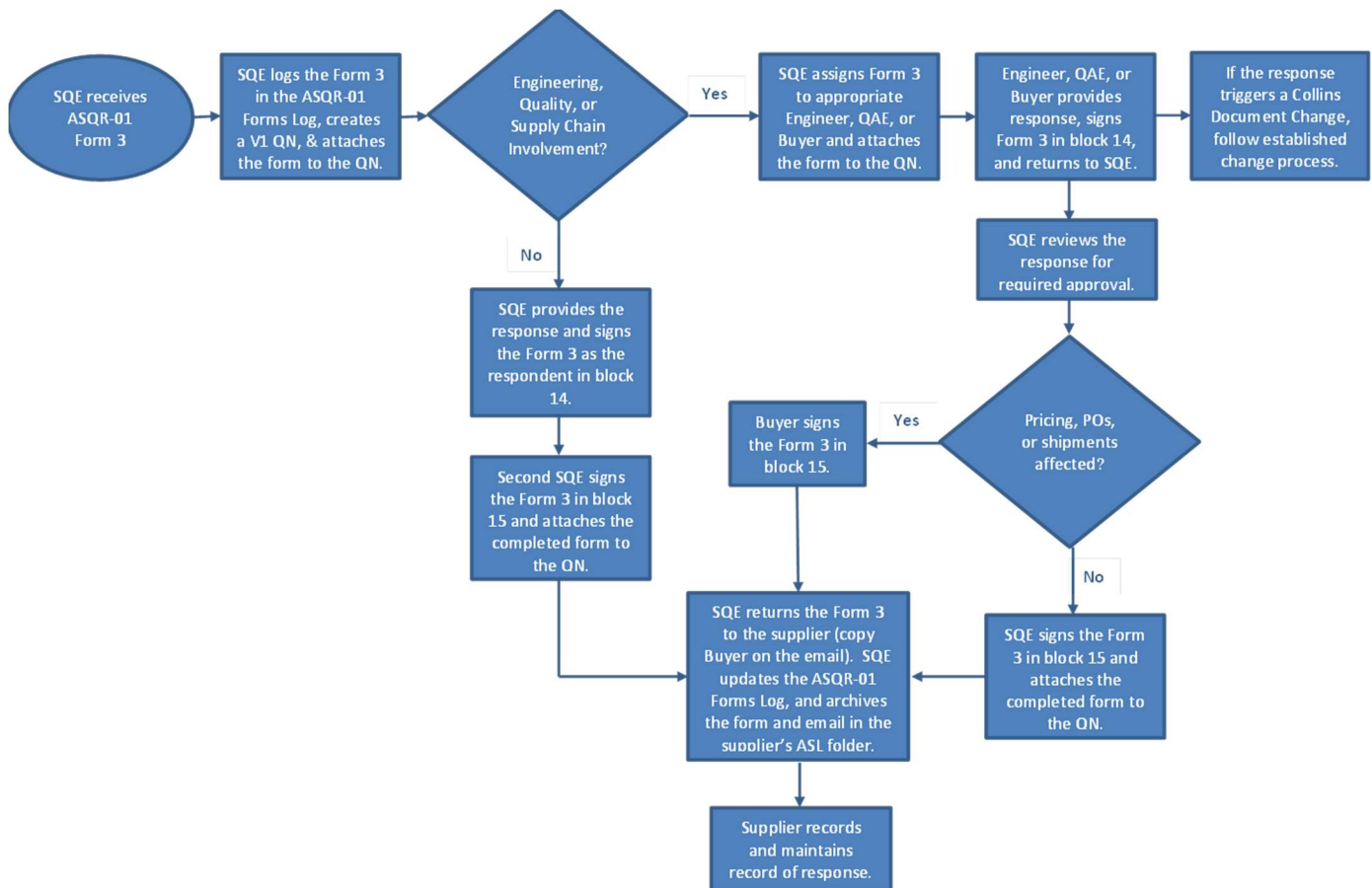
8. FLOWCHARTS



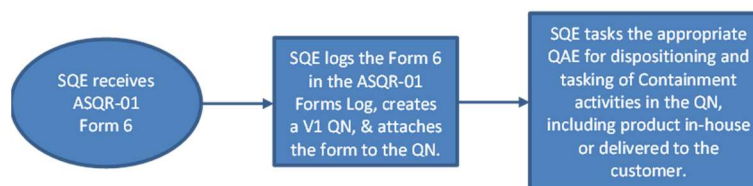
Form 2 / Form 4 Process Flowchart

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Form 3 Process Flowchart



Form 6 Process Flowchart

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9. RECORDS

- |     |                   |  |
|-----|-------------------|--|
| (a) | ASQR-01 Form 2    | Supplier Process Change Notification     |
| (b) | ASQR-01 Form 3    | Supplier Communication                   |
| (c) | ASQR-01 Form 4    | Work Transitions                         |
| (d) | ASQR-01 Form 6    | Notification of Potential Quality Escape |
| (e) | ASQR-01 Forms Log | Form submission tracking log             |

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**APPENDIX A – Guidelines for completion of ASQR-01 Form 3**

<b>1</b>	<p><b><u>Supplier Classification of the Form 3 for EXPORT CONTROL purposes (page 1)</u></b></p> <p>Classify the form for EXPORT CONTROL purposes. If unsure of the classification, contact the originator of the information or your legal department. Unclassified forms will be returned, unprocessed to the originator.</p>
<b>2</b>	<p><b><u>Supplier Completion of Section I. Supplier Furnished Data (page 2)</u></b></p> <p>In order to ensure prompt processing of the communication/request, please ensure that:</p> <ul style="list-style-type: none"> <li>a) All Section I fields are filled-in, as requested. Fields left void of information and/or without proper justification will be returned, unprocessed to the originator.</li> <li>b) Enough information has been provided in order for UTC Member to assess your proposal promptly. Ensure that the scope of your request is clear / concise.</li> <li>c) The completed form is submitted to the Collins Supplier Quality Engineer (SQE)</li> </ul> <p>Enter the following information as it appears on the Collins PO, or as applicable:</p> <p><b><u>Field 1</u></b> – Enter the Supplier Code assigned to the supplier by Collins;  <b><u>Field 2</u></b> – Enter the Supplier's Company Name;  <b><u>Field 3</u></b> – Enter the Suppliers full business address;  <b><u>Field 4</u></b> – Enter the name of the Supplier Representative that is preparing/submitting the form;  <b><u>Field 5</u></b> – Enter the associated part number, or "N/A" if not related to a product/part;  <b><u>Field 6</u></b> – Enter the associated PO number, or "N/A" if not related to a PO;  <b><u>Field 7</u></b> – Indicate whether there are any supporting attachments (check either the "Yes" or "No");  <b><u>Field 8</u></b> – Enter the date that the communication is being submitted to Collins;  <b><u>Field 9</u></b> – Enter a <u>detailed</u> description of what is being requested of Collins.</p>
<b>4</b>	<p><b><u>Collins SQ Completion of Section II. UTC Furnished Information (page 2)</u></b></p> <p><b><u>Field 10</u></b> – Enter the Collins Buyer Code and Name;  <b><u>Field 11</u></b> – Check applicable checkboxes to assign the response to the responsible group(s);  <b><u>Field 12</u></b> – Enter the V1 QN number created in association with the receipt of the Form 3 request;  <b><u>UTC MEMBER Field</u></b> – Check the UTC Aerospace Systems checkbox;</p>
<b>5</b>	<p><b><u>Responsible Team's Completion of Section II. UTC Furnished Information (page 2)</u></b></p> <p><b><u>Field 13</u></b> – Provide the detailed response/instructions to be provided to the supplier;  <b><u>Field 14</u></b> – Respondent to enter their name and date, then sign the form;  <b><u>Field 15</u></b> – Final approval by the buyer or SQE, as defined in Section 7 in the standard above.</p>
<b>6</b>	<p><b><u>Responsible Team's Confirmation of Export Classification (page 1)</u></b></p> <p>Upon provision of the response, the responsible Collins individual/team will review the export control classification and reclassify as appropriate.</p>

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