



**Parker Hannifin Corporation**

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# **Supplier Quality Requirements Manual**

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Mar-08



# Supplier Quality Requirements Manual

## • REVISION HISTORY

Revision	Date	Description of Changes
0	Dec-07	Initial Release.
1	Jan-08	Section 11.1 Performance Measures: RPPM denominator was: "Number of Parts Shipped," is: "Number of Parts Received." Delivery denominator was: "Number of Parts Ordered," is: "Number of Parts Received."
2	Mar-08	Added Parker Aerospace requirements in <b>bold italics</b> . Other additions, after renumbering, include sections 3.5 - 3.7, 5.7 - 5.12, and 6.2(i).

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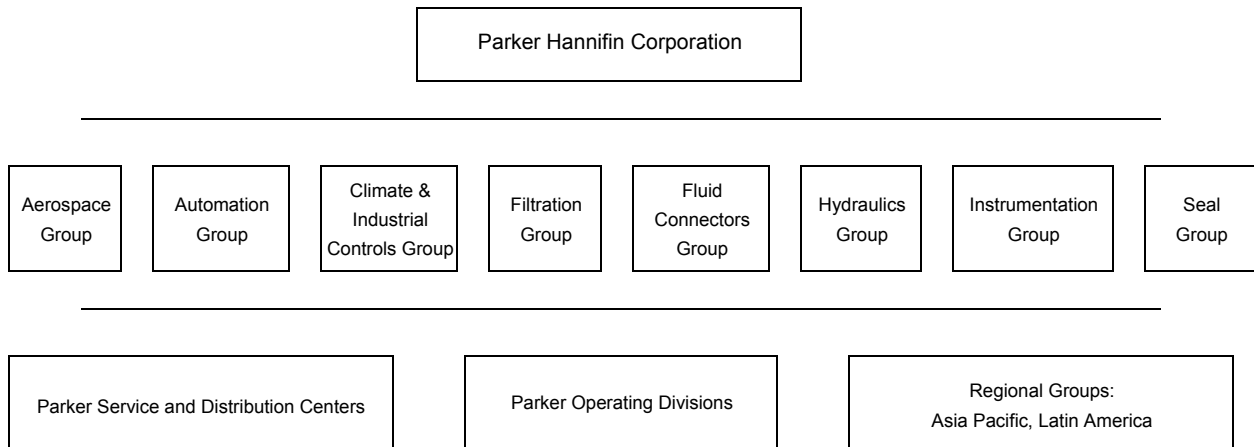
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## ● PARKER HANNIFIN CORPORATION

**Corporate Overview** Parker Hannifin Corporation is the world's leading diversified manufacturer of motion and control technologies and systems, providing precision-engineered solutions for a wide variety of commercial, mobile, industrial, and aerospace markets.

**Corporate Mission** The Parker Hannifin Corporation is committed to providing our customers with premier customer service. This means meeting customer requirements for product quality, service, and on time delivery. It also means anticipating our customers' future needs and expectations for new products and services with innovative designs and systems. Parker aims to accomplish these objectives with strong leadership, a highly capable and empowered workforce, and partnering with best-in-class Suppliers.

### Organization Structure



**Web Page** Additional information about Parker can be found at [www.parker.com](http://www.parker.com).

## ● INTRODUCTION

**Our Suppliers** Parker Hannifin Corporation recognizes the very important role our Suppliers have in the value we offer our customers. As an extension of our own operations, we rely on our Suppliers to provide material, products, and services which meet all of the requirements of Parker contracts, applicable specifications, and the quality management requirements outlined herein.

**Purpose** Parker serves diverse market sectors, such as industrial, automotive, aerospace, and biomedical. The purpose of this manual is to inform Parker Suppliers of the core expectations we have regarding the Suppliers' quality management systems, design requirements, and manufacturing process controls required for the purpose of doing business with Parker. This manual describes what Parker expects its Suppliers to do to ensure that all Parker requirements and expectations are met.



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**Scope** This manual applies to all Suppliers providing Parker with materials, products, processing, and related services, including intra-company Suppliers, and when applicable, to Supplier sub-tier sources. The general requirements outlined herein do not supersede conflicting requirements in the Parker contract, or drawing, including applicable engineering specifications and process specifications, or applicable long term agreement(s).

This manual specifies ***additional requirements for Parker Aerospace Suppliers*** as shown in ***bold italics***.

**Requirements** In this manual, 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.

**Questions** Questions concerning this manual should be directed to your respective Parker Buyer.

## • SUPPLIER CODE OF CONDUCT

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Suppliers shall ensure operations are being performed in a manner that is appropriate, as it applies to their ethical, legal, environmental, and social responsibilities. Below is a listing of the basic requirements:

▪ **Compliance with Local Laws and Regulations**

Suppliers must adhere to the laws and regulations in the locality in which they reside. This includes all local, state, and federal laws/regulations in the country of origin.

▪ **Compliance with Environmental, Health, and Safety Laws**

The Supplier must maintain and operate its manufacturing/production facilities and processes in accordance with local, state, and federal laws/regulations in the country of origin.

At no time shall any Parker person be exposed to hazardous materials or unsafe conditions as a result of Supplier shipments to a Parker location, or while visiting a Supplier's location. For items with inherent hazards, safety notices must be clearly visible. As applicable, documented safety handling and protection information must be provided.

▪ **Product Safety**

In all instances where a product is manufactured to a new design, for a new system, or for a new application, it is important that Supplier and Parker allocate responsibility for assuring that all performance, endurance, maintenance, safety and warning requirements are met. It is preferred that this allocation of responsibility be in writing.

▪ **Non-Discrimination**

Suppliers shall not discriminate against race, color, sex, religion, age, physical disability, political affiliation, or other defining characteristics as prohibited by local, state, and federal laws/regulations in the country of origin.

▪ **Labor**

▪ **Child Labor** – Suppliers shall employ workers of minimum legal age in accordance with local, state, and federal laws/regulations in the country of origin. Child labor laws must be followed.

▪ **Forced/Indentured Labor** – Suppliers shall not practice the use of forced or indentured labor.

▪ **Work Hours/Days** – Suppliers shall not exceed the daily and weekly working hours as permitted by local, state, and federal laws/regulations in the country of origin.

- **Wages and Benefits** – Suppliers shall compensate workers in accordance with local, state, and federal laws/regulations in the country of origin. This includes minimum legal wage, overtime wages, and benefits (required by law).
- **Ethics**  
Evidence of corruption, bribes, improper advantage, or any other form of illegal practice by the Supplier or associated operations will terminate all relations with Parker. Suppliers will conduct their business in a manner that meets the 'Code of Ethics' policy of the Parker Hannifin Corporation. In addition, for those Suppliers contracting with Parker for U.S. Government contracts, Parker document 'Policy on Contracting with the United States Government' shall apply. Both of these documents may be obtained from the Parker Buyer or via Parker's PHconnect Supplier portal.
- **Code of Conduct and Policy Enforcement**  
This policy applies to Suppliers and their sub-tier sources. It is the responsibility of the Supplier to verify and monitor compliance of this code at their operations and sub-tier source operations.
- **Confidentiality**  
The Supplier shall ensure the confidentiality of Parker-contracted products and projects under development, and related product information, as well as intellectual property shared as a result of the working relationship.

## 1 • QUALITY SYSTEM REQUIREMENTS

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Suppliers shall maintain a Quality Management System (QMS) suitable to the products and services provided to Parker, that is certified by an accredited third-party certification body to the latest version of one or more of the following, as applicable:

- ISO 9001 - Quality Management System Requirements<sup>1</sup>
- AS/EN/JISQ9100 - Quality Management System Requirements (Aerospace)<sup>2</sup>
- ISO/TS 16949 - Quality System Requirements (Automotive, Truck & Heavy Equipment)<sup>3</sup>
- ISO 13485 - Quality Management System Requirements (Medical)<sup>1</sup>

See the following sources for a listing of accredited certification bodies:

<sup>1</sup>The U.S. accreditation body for management systems can be found at ANSI-ASQ National Accreditation Board, <http://www.anab.org>. For a list of Accreditation Boards from other countries, refer to the International Accreditation Forum at <http://www.iaf.nu>.

<sup>2</sup>For AS9100, see SAE OASIS database at <http://www.sae.org/iaqg/>

<sup>3</sup>For ISO/TS 16949, see International Automotive Oversight Bureau at <http://www.iaob.org>

In the absence of third-party certification, depending on the product, its application, value, and criticality, the Parker Buyer and Quality representative may authorize the acceptance of other evidence of compliance. This may include second-party (Parker) audit or first-party (self) assessment to the applicable criteria above, or to a set of alternative basic quality requirements (such as those described in a 'Parker Supplier Quality Assessment' checklist).

***Parker Aerospace Suppliers shall comply with the following requirements:***

- **Distributors/Stockists - shall establish and maintain a QMS that is in compliance with AS9120/EN9120, AS/EN/JISQ9100 or ISO 9001-2000**

- Calibration Suppliers - shall establish and maintain a measurement management system that is in compliance with either:
  - ANSI/NCSL Z540.1 - Calibration Laboratories and Measuring & Test Equipment Requirements, or
  - ISO 10012 - Requirements for Measurement Processes and Measuring Equipment
- Special Process Suppliers - shall establish and maintain a QMS that is in compliance with AS/EN/JISQ9100, AS9003 or PRI/Nadcap AC7004.
- Software Suppliers (Deliverable Software Only) - shall establish and maintain a QMS that is in compliance with RTCA/DO-178, AS9006 and the Software Engineering Institute (SEI) Capability Maturity Model (CMM) guidelines of Level 3, prior to Parker approval.
- Commercial-Off-The-Shelf Suppliers (COTS) - Suppliers that provide commercial products shall establish a QMS in compliance with ISO 9001-2000, or equivalent.
- All Other Suppliers - shall establish and maintain QMS that is in compliance with AS/EN/JISQ9100, and a measurement management system which meets the requirements of either ANSI/NCSL Z540.1 or ISO 10012.

Suppliers registered in accordance with AS9104 shall be listed in the SAE OASIS database.

## 1.1 QUALITY MANUAL

Upon request, the Supplier shall furnish Parker with a copy of the Supplier's Quality Management System Manual, which is to be current and approved by the Supplier's management, including or making reference to related documents. The quality management system documentation shall include Supplier's statements of a quality policy and quality objectives. Top management shall define quality objectives and measurements which should address customer expectations and be achievable within a defined period of time. The Supplier shall promptly notify the Parker Buyer of any substantive changes to the Supplier's quality management system or personnel.

## 2 • SUPPLIER APPROVAL PROCESS

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Parker requires all Suppliers to be approved prior to the issuance of contracts. All Suppliers must be approved by Parker, regardless of approvals by customers or other entities.

### 2.1 SUPPLIER ASSESSMENT

The Supplier Approval Process may include the following:

a) Supplier Initial Assessment

Parker may request the Supplier to provide a copy of its quality management system certificate and/or complete a self-assessment of its business and quality management system and capabilities (i.e., quality, delivery, technology, cost, and continual improvement objectives).

b) Documentation Audit

In those cases where a Supplier's quality management system has not been certified by an accredited certification body, Parker may request a copy of the Supplier's Quality Manual and supporting procedures (and perhaps internal audit reports) to determine if the Supplier's quality management system meets Parker requirements.



## c) On-Site Assessment

Generally, when a Supplier is certified to a related standard by an accredited certification body, Parker will not conduct an on-site assessment of the Supplier's quality management system against the same criteria. However, Parker and/or its customers, due to product/process complexity or criticality, may elect to conduct on-site assessments of a Supplier's product or process capabilities. As a result, findings may be issued. These assessments could include:

- Quality Management System (QMS) – if necessary, as a result of (or in conjunction with) product or process capability assessments, to determine whether the Supplier's quality management system meets one or more of the applicable standards, and is functioning effectively.
- Business and Manufacturing Operations – to determine whether the Supplier has the financial resources, production capacity, and other business resources needed to fulfill Parker volume production needs and continuity of supply.
- Continual Improvement Initiative – to determine if the Supplier's culture, methods and skills are present to actively pursue continual improvement.
- Technology Assessment - to determine whether the Supplier has the needed technical resources, including production and inspection equipment, facilities, engineering resources, Parker-specified computer-aided design language/format, electronic commerce capability, etc.
- Sub-Tier Supplier Control – to evaluate the effectiveness of the Suppliers sub-tier management processes and ensure that products or services procured from sub-tier sources and delivered to Parker conform to all applicable Parker requirements.

***All new Parker Aerospace calibration Suppliers require an on-site assessment by Parker or its representatives for compliance to ANSI/NCSL Z540-1 prior to approval.***

***All new Parker Aerospace special process Suppliers require on-site assessment by Parker, including personnel approved by Materials & Processes, prior to approval. Suppliers who have established a QMS in compliance with AS9003 require a QMS audit by Parker prior to addition of the Supplier to the APSL.***

***Parker Aerospace requires all Suppliers to be approved and listed on the Parker Approved Suppliers List (ASL) and/or Approved Process Suppliers List (APSL), prior to the issuance of contracts to the Supplier.***

## 3 • GENERAL REQUIREMENTS

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The following set of general quality requirements applies to all Suppliers.

### 3.1 COMPLIANCE TO CONTRACTUAL REQUIREMENTS

Upon accepting a Parker contract, the Supplier is responsible for compliance to all contract (e.g., engineering drawing, specification, purchase order) requirements. All documents, drawings and specifications, regardless of origin, are applicable to the Supplier when specified in the contract or documents referenced in the contract, and are required to be used at all levels of the supply chain. Unless otherwise specified in the contract, the document revision in effect on the date of issue of the contract applies to the contract. Neither audit, surveillance, inspection or tests made by Parker, representatives of Parker or its customer(s), at Supplier's facilities, at any sub-tier facilities, or upon receipt at Parker, relieves the Supplier of the responsibility to furnish acceptable products or services

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that conform to all contract requirements; nor does it preclude subsequent rejection by Parker or its customers.

## 3.2 PARKER DESIGNATED SOURCES

Where specified by contract, the Supplier shall purchase products, materials or services from Parker-designated sources. However, the Supplier is responsible to ensure that items procured from such sources meet all applicable technical and quality requirements.

## 3.3 CONTROL OF SUB-TIER SUPPLIERS

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

### a) *Special Process Suppliers*

***For Parker Aerospace, unless otherwise specified by contract, the Supplier shall only use special process sources that are approved by Parker Aerospace and listed on the Parker Aerospace Approved Process Suppliers List (APSL). This requirement applies to Suppliers who perform special processing such as heat treating, plating, etc., as part of their internal operations. The Supplier shall flow-down this requirement to its sub-tier sources.***

### b) *Risk Management*

***For Parker Aerospace, the Supplier shall establish a risk management program in accordance with the guidelines established by SAE ARP9134 (or equivalent) to effectively assess those elements from all aspects of the business that could affect the quality of the products and/or services scheduled for delivery to Parker Aerospace. A copy of the Supplier's risk management program shall be furnished to the Parker Buyer upon request.***

## 3.4 CONTROL AND RELEASE OF PARKER FURNISHED DOCUMENTS

Documents furnished by Parker to the Supplier are furnished solely for the purpose of doing business with Parker. Proprietary documents may be furnished to the Supplier in hard copy, electronic or other media. The Supplier is responsible for controlling and maintaining such documents to preclude improper use, loss, damage, alteration and/or deterioration.

Unless authorized by the Parker Buyer in writing, the Supplier may not transmit or furnish any Parker furnished documents, or copies of such documents, to anyone outside the Supplier's business organization except to a sub-tier source used by the Supplier for performance of work on the Parker contract. The Supplier shall return to Parker, or purge electronic copies of, all proprietary documents



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with the last delivery of products or services on the contract. Parker may request the Supplier to furnish objective evidence or certification that proprietary documents have been purged. The Supplier shall flow down this requirement to all sub-tier sources, when such sources will be in receipt of Parker proprietary documents during performance of work for the Supplier.

## 3.5 E-BUSINESS REQUIREMENTS

Many Parker divisions currently use and are continually expanding the use of electronic business tools to facilitate day-to-day activities using electronic linkages between Parker internal operations as well as with Parker Suppliers and customers. Contracts, delivery schedules, notification of product rejections, requests for corrective action, etc. may be transmitted to Suppliers electronically, and Parker expects that Suppliers will adopt these tools to reduce errors and improve efficiency. For a list of e-business requirements and opportunities contact the Parker Buyer.

## 3.6 ELECTRONIC DOCUMENTS

The accuracy and authenticity of electronic documents and forms submitted to Parker is of highest importance. The following rules apply and may be subject to review by Parker at Suppliers facilities:

- The issue of electronic documents and application of electronic signatures must be under the direct control of the individual whose name appears on the electronic document
- The electronic signatures may only be applied at the place where the individual is located and the individual must have direct access and responsibility for the products or services described in the electronic document
- The application of the electronic signature certifies that the signature (individual) represents an authorized company official.

***For Parker Aerospace, the use of electronic forms and signatures must be described in and governed by Supplier's documented procedures.***

## 3.7 FEDERAL AVIATION ADMINISTRATION (FAA) REGULATIONS

***For Parker Aerospace, the following requirements apply when the contract is for products/services under the authority of regulatory agencies (reference [www.faa.gov](http://www.faa.gov)):***

- ***FAA Certification***

***When specified on the contract, the Supplier shall submit a completed FAA Form 8130-3, executed in accordance with the requirements of FAA Order 8130.21, for all work performed.***

- ***Parts Manufacturer Approval (PMA) Certification***

***When the contract requires the Supplier to furnish replacement or modification parts, such parts shall be manufactured and certified in accordance with Title 14 CFR Part 21, Subpart K, §21.303. The parts shall be marked in accordance with Title 14 CFR 45, Subpart B, § 45.15 and submitted to Parker with FAA Form 8130-3 executed in accordance with FAA Order 8130.21***

- ***Anti-Drug and Alcohol Misuse Prevention Program***

***All Supplier employees (including any Supplier's sub-tier employees) performing maintenance or inspection of products scheduled for delivery to Parker shall be included***

*and part of a FAA approved Anti-Drug and Alcohol Misuse Prevention Program. The requirement applies both to pre-employment and random testing of current employees in accordance with the requirements of 14 CFR Part 121, Appendix "I" and Appendix "J". Evidence of compliance to this requirement shall be made available to Parker upon request. Exceptions. This anti-drug and alcohol requirement does not apply to employees performing safety sensitive functions outside the United States territory and persons contracted to perform safety sensitive functions for an employer who is located outside the United States territory.*

### 3.8 BUSINESS CONTINUITY

The Supplier should have a business continuity plan which would allow for the safeguarding, storage and recovery of engineering drawings, electronic media, and production tooling in the event of damage or loss. This plan should also contain contingency plans to satisfy Parker requirements in the event of significant utility interruptions, labor shortages, equipment failure and field returns.

## 4 • PRODUCT QUALIFICATION

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This section defines the generic requirements for production part qualification and approval. The purpose is to determine if all Parker design and specification requirements are properly understood by the Supplier and that the manufacturing processes have the capability to consistently meet these requirements.

In all instances where a product is manufactured to a new design, for a new system, or for a new application, it is important that Supplier and Parker allocate responsibility for assuring that all performance, endurance, maintenance, safety and warning requirements are met. It is preferred that this allocation of responsibility be in writing.

### 4.1 FIRST ARTICLE INSPECTION

As a minimum, a First Article Inspection (FAI) is required to initially qualify a part/process for Supplier approval, unless the PPAP process (below) is used instead. Furthermore, a new FAI may be requested if there is an extended gap of time since last production. The FAI requires that all features and characteristics on the design specification and control plan be inspected and verified prior to production. Actual measured values shall be recorded as opposed to general statements of conformance or other notations simply indicating acceptance.

For First Article Inspection guidance, see AIAG PPAP Manual (Appendix C, D, & E) – Production Part Approval Process (available from [www.aiag.org](http://www.aiag.org)). When submitting a First Article Inspection report, the Supplier should use the form provided by the Parker Buyer. Otherwise, generic Form# PH-FAI, or other convenient and equivalent may be used.

In addition to an FAI, Suppliers shall, as a minimum, develop a Control Plan by identifying special product and process characteristics that are key to achieving quality. The Supplier shall also include those special characteristics designated by Parker in the drawing, specification, or contract. Parker Control Plan (Form # PH-CPLAN) or other convenient and equivalent version may be used.

***For Parker Aerospace, a new FAI is required if there is a twenty-four (24) month gap of time since last production and excess stock from last production can not be used to satisfy the FAI requirement. A delta FAI is required when new revision of the part number is released. Unless otherwise required by contract, all FAI's shall be documented in accordance with AS/EN/SJAC9102.***

## 4.2 PRODUCTION PART APPROVAL PROCESS

When required by the Parker contract, the Supplier shall submit to Parker a more comprehensive Production Part Approval Process (PPAP) qualification package. The Supplier is responsible for obtaining the latest revision of the applicable AIAG core tool reference manuals and forms (see Applicable Documents section for where these references may be obtained).

The AIAG Core Tools Manuals are:

- Advanced Product Quality Planning (APQP) and Control Plan
- Production Part Approval Process (PPAP)
- Potential Failure Mode and Effects Analysis (FMEA)
- Measurement Systems Analysis (MSA)
- Statistical Process Control (SPC)

When PPAP is specified on the Parker contract, the Supplier shall submit a “Level 3” PPAP package to the Parker Buyer which consists of the following items, unless otherwise directed. See AIAG PPAP Manual, Table 4.2, for complete list of submission requirements for each level of PPAP. Also, see AIAG APQP Manual for related guidance on associated product and process design and development methodology and techniques.

### A) Design Record, Change Documents, and Customer Approval

The Supplier shall have the design record for the saleable product/part and components; any authorized engineering change documents for those changes not yet recorded in the design record but incorporated in the product, part or tooling; and evidence of Parker engineering approval. See AIAG PPAP Manual.

### B) Process Flow Diagram

The Supplier shall have a visual diagram of the proposed or current process. This diagram shall clearly describe the production process steps and sequence, and meet the specified Parker needs, requirements and expectations. See AIAG PPAP Manual.

### C) Failure Mode and Effects Analysis

Suppliers with product design responsibility shall develop a Design FMEA in accordance with, and compliant to, Parker-specified requirements. A single Design FMEA may be applied to a family of similar parts or materials.

Suppliers shall develop a Process FMEA in accordance with, and compliant to, Parker-specified requirements. A single Process FMEA may be applied to a process manufacturing a family of similar parts or materials if reviewed for commonality by the Supplier. See AIAG FMEA Manual.

### D) Measurement Systems Analysis

The Supplier must develop or obtain gages and standards to control their processes and to determine product conformance to specifications. Variable gages and measurements are preferred. Alternative methods, gages or standards may be used at Parker to verify the Supplier’s inspection results. Parker may request the Supplier to participate in a correlation study to compare Supplier measurement results against results obtained by Parker gages and methods.

The Supplier shall perform Measurement Systems Analysis (MSA) studies, e.g., gage repeatability & reproducibility, bias, linearity, stability, for all new or modified gages, measurement, and test equipment. See AIAG MSA Manual.

## E) Control Plan

The Supplier shall have a Control Plan that takes into account the output from the FMEA and defines all methods used for process monitoring and control of special product/process characteristics. The control plan covers three distinct phases: prototype, pre-launch, and production. A single control plan may apply to a group or family of products that are produced by the same process at the same source. See AIAG APQP Manual.

## F) Process Capability Study

Process Capability Index (Cpk) is a comparison of the inherent variability of a process output to specification limits under statistically stable conditions. Most methods for estimating capability require that the characteristic being evaluated is approximately normally distributed, and in statistical control. The distribution should be determined prior to estimating capability. If the process is not in statistical control, all assignable causes must first be identified and removed. Special techniques are available for calculating capability when inherent assignable causes, such as tool wear, are present.

Definitions and calculations for Cpk and Ppk indices are found in AIAG PPAP and SPC Manuals. Unless otherwise approved by Parker, the Supplier shall use the following as acceptance criteria for evaluating initial process study results of special characteristics for processes that appear stable:

<u>Results</u>	<u>Interpretation</u>
Index > 1.67	The process currently meets acceptance criteria.
$1.33 \leq \text{Index} \leq 1.67$	The process is marginally acceptable.
Index < 1.33	The process is not acceptable.

## G) Certification and Test Reports

The Supplier shall provide evidence that the following verifications required by the design record and control plan have been completed and that results indicate compliance with specified requirements:

- Dimensional Results – for each unique manufacturing process, e.g., cells, lines, molds, patterns, a record of actual results of all characteristics.
- Material and Performance Test Results – for all parts and product materials with chemical, physical, metallurgical, and functional performance requirements.
- Qualified Laboratory Documentation – documentation showing laboratory results of the qualifications for the type of measurements or tests conducted and the standards used.
- Sample Product – actual samples as required by the applicable specification or Parker contract.
- Master Sample – retain a master sample, when required by the Buyer, and make available upon request.
- Checking Aids – if requested by the Buyer, submit part-specific assembly or component checking aids.
- Records of Compliance – copies of records showing compliance to all applicable Parker-specific requirements.

See AIAG PPAP Manual for applicable forms and instructions.

## H) Part Submission Warrant

Upon completion of all PPAP requirements, the Supplier shall complete the Part Submission Warrant (PSW). A separate PSW shall be completed for each Parker part number unless otherwise specified



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by the Parker contract. Upon receipt, Parker will review and either approve, reject, or provide interim approval. See AIAG PPAP Manual for forms and instructions.

## 5 • PROCESS CONTROL

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This section defines the basic necessities for Suppliers to control their manufacturing processes.

### 5.1 SPECIAL CHARACTERISTICS

The Supplier shall demonstrate conformity to those special characteristics designated by Parker through means of documentation and appropriate control methods. In addition to any special characteristics identified by Parker, the Supplier shall also review, identify, document, and control other product and process characteristics that are key to achieving quality.

***For Parker Aerospace, the Suppliers variation management program shall be in compliance with requirements of AS/EN/SJAC9103.***

### 5.2 ERROR-PROOFING

The Supplier should use error-proofing devices and techniques as a form of process control; especially for repetitive functions, difficult tasks prone to mistakes, or where the cost of error is high.

### 5.3 WORK INSTRUCTIONS

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 work station.

### 5.4 CONTROL OF MONITORING AND MEASURING DEVICES

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. As a minimum, where necessary to ensure valid results, measuring equipment shall:

- a) 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
- b) be identified to enable the calibration status to be determined.

***For Parker Aerospace, unless otherwise specified by contract, the Supplier shall establish procedures to control Measuring and Test Equipment (M&TE) that are in compliance with the requirements of ANSI/NCSS Z540-1 or ISO 10012.***

### 5.5 STATISTICAL PROCESS CONTROL

Where specified in the Control Plan, the Supplier is required to apply effective statistical process controls. Suppliers should consult the Statistical Process Control (SPC) manual published by AIAG for guidance, methods, examples, and related reference information.

### 5.6 PREVENTIVE MAINTENANCE

The Supplier should identify key process equipment and provide resources for machine/equipment maintenance activities and develop an effective planned total preventive maintenance system.

## 5.7 SOURCE INSPECTION

Supplier's products or services may be subject to source inspection by Parker, representatives of Parker 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 Parker. The Supplier shall provide the necessary access, equipment and resources required to effectively accomplish the source inspection.

## 5.8 SHELF-LIFE CONTROL

- a) Materials - With each delivery of materials or products that have a limited or specified shelf life, the Supplier shall furnish data that shows (a) the cure or manufacture date, (b) expiration date or shelf life, (c) lot or batch number, and when applicable any special handling or storage requirements. Unless otherwise specified by contract, for all shelf life limited materials or products delivered to Parker, the remaining shelf life shall be a minimum of 75% of the total shelf life for the material.
- b) ***Elastomers and Seals - For Parker Aerospace, Suppliers scheduled to provide elastomeric seals or assemblies to must meet the requirements for data recording procedures, packaging, and storage of elastomeric seals and seal assemblies which includes an elastomeric element per ARP5316.***

## 5.9 SAMPLING INSPECTION

***The Supplier is responsible for 100% verified quality for all items delivered to Parker. For Parker Aerospace, when the Supplier elects to use statistical methods for the acceptance of products or processes, such methods shall be in compliance with the requirements established by SAE ARP9013, 9013/1, 9013/2, 9013/3 and 9013/4 as applicable, except that in all cases the sample sizes shall be AQL 4.0 or higher (i.e., AQL 1.0, .65, etc.) and the criteria for lot acceptance as zero (i.e., C=0). A copy of Suppliers statistical process control plan shall be furnished to Parker upon request.***

## 5.10 OPERATOR SELF-VERIFICATION

***Parker Aerospace Suppliers may delegate inspection authority and product/process inspection and acceptance to production operators. In such cases, the Supplier's operator self-verification program shall comply with the requirements of SAE ARP9162. Prior to implementation of the program on products/processes scheduled for delivery to Parker, the Supplier shall request and obtain approval from Parker in writing.***

## 5.11 RAW MATERIAL LOT CONTROL

***For Parker Aerospace, in those cases where the Supplier elects to use more than one lot of raw material, the Supplier shall ensure, document and furnish positive traceability of each individual product to the raw material certification/test report that represents the raw material from which each of the products was manufactured. Traceability shall be provided by identifying the raw material heat, lot, batch or melt number from the certification/test report on the product and/or on packaging (when used), or the products segregated and identified.***



## 5.12 ELECTRO-STATIC DISCHARGE (ESD) CONTROL

*Suppliers scheduled to provide ESD sensitive devices to Parker Aerospace shall, prior to processing product, establish, document and implement an Electrostatic Discharge (ESD) Control Program plan in compliance with the requirements of MIL-STD-1686 or equivalent.*

## 6 • CHANGE CONTROL

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The Supplier is responsible for controlling changes and notifying the Parker Buyer of all changes to the approved part design, manufacturing process, or site.

### 6.1 CHANGE CONTROL PROCESS

The Supplier shall have a process to ensure that relevant versions of applicable documents furnished by Parker (as well as those specified of external origin) are available at points of use.

The Supplier is responsible for the timely review, distribution and implementation of all Parker engineering standards/specifications and changes in accordance with the schedule required by Parker. Timely review should be as soon as possible, and shall not exceed two working weeks. The Supplier shall maintain a record of the date on which each change is implemented in production. Implementation shall include updated documents.

### 6.2 SUPPLIER CHANGE REQUESTS

Suppliers shall not make changes to their processes, location, facilities, equipment, material, product design (or any change which may affect product design or function) without written approval from the Parker Buyer for:

- Correction of a discrepancy on a previously submitted part;
- Product modified by an engineering change to design records, specifications, or materials; or
- Any planned changes by the Supplier to the design, process, or manufacturing location, such as:
  - a) Use of other material than was used in previously approved part or product
  - b) Production from new, additional, replacement or modified tools, dies, molds, patterns, etc.
  - c) Production following upgrade or rearrangement of existing tooling or equipment
  - d) Production from tooling and equipment transferred to a different plant site or from an additional plant
  - e) Change of sub-tier Supplier for parts, nonequivalent materials, or services (e.g. heat treating, plating, etc.)
  - f) Product produced after tooling has been inactive for production for 12 months or more
  - g) Change to test/inspection method – new technique (no effect on acceptance criteria)
  - h) For bulk materials: new source of raw material from new or existing Supplier, or change in product appearance attributes, etc.
  - i) 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.

Before submitting to Parker a request for a permanent change to a Supplier-controlled design, the Supplier shall review the FMEA and Control Plan, as applicable, to ensure that all process-related issues have been addressed and resolved. Parker may require the Supplier to submit an updated



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FMEA and Control Plan prior to approval of such permanent changes. Parker may also require other portions, or all, of the related qualification process to be repeated. In some cases, Parker may elect to review Supplier proposed permanent changes at the Supplier's facility.

To request a permanent engineering change, the Supplier shall use the Part/Process Change Notification form (#PH-PPCN), or other equivalent form of notification acceptable to the Parker Buyer.

To request a one-time or temporary deviation, Suppliers shall use Parker's Supplier Deviation Request (Form # PH-SDR), or other equivalent form acceptable to the Parker Buyer.

***For Parker Aerospace Suppliers, unless the Supplier is specifically granted material review and disposition authority by the contract, the Supplier shall document all nonconforming conditions in accordance with the requirements of AS/EN/SJAC9131 and submit them to Parker Material Review Board (MRB) for disposition.***

## 7 • CONTROL OF NONCONFORMING MATERIAL

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For nonconforming products supplied to Parker, including those that reach a Parker customer, the Supplier must cover all costs to correct the nonconformance.

### 7.1 SUPPLIER REQUEST FOR NONCONFORMANCE DEVIATION

A Supplier shall not knowingly ship product that deviates from the drawing, specification limits, or design intent without prior written authorization from the Parker Buyer. If such a condition exists, the Supplier may petition the Parker Buyer, in writing, to allow shipment of the product under a written nonconformance deviation. The Supplier shall use Parker's Supplier Deviation Request (Form # PH-SDR), or equivalent, unless otherwise directed.

If requested by the Parker Buyer, the Supplier must send samples of such nonconforming items to Parker for evaluation. The cost of shipping, inspection, and testing to determine the potential acceptability of such product will be charged to the Supplier.

Parker approval of a deviation is specific to the products for which it has been submitted and approved and shall not to be construed as a permanent engineering change. The Supplier must begin work immediately on corrective action. In all cases, the Supplier shall fully contain all product suspected of being nonconforming. In addition, 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 Parker sites or be charged back for the cost of sorting by Parker. Any parts shipped to Parker that have been approved for deviation shall be clearly identified as such externally on the box, container, or other packaging and on shipping documentation. Inside of each box shall contain a copy of the Parker-approved deviation document.

***For Parker Aerospace Suppliers, the Supplier shall document all nonconforming conditions in accordance with the requirements of AS/EN/SJAC9131 and submit them to the Parker Buyer for review.***

### 7.2 CONTROL OF REWORKED PRODUCT

*Rework* is defined as additional operations that are not part of the basic production process flow, which will bring product in full compliance with applicable drawings and specifications. Instructions for rework, including re-inspection requirements, shall be accessible to and utilized by the Suppliers appropriate personnel. All rework shall be documented and accepted by quality. On the other hand, *repair* is defined as using alternative manufacturing techniques, methods, materials, or processes



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which *may not* bring product into full compliance with applicable drawings and specifications. Repairs are not allowed without written approval from Parker.

## 7.3 SUPPLIER CONTAINMENT

For product quality problems reported by Parker to the Supplier, until formal corrective action has been taken and approved, the Supplier shall provide documented evidence with subsequent shipments that such product has been inspected for the identified nonconformances and meets all applicable requirements.

## 8 • PACKAGING, LABELING, DELIVERY & RECORD RETENTION

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Preservation, packaging, labeling, and shipping methods must comply with common industry practices and Parker requirements specified on the contract.

### 8.1 PRESERVATION

In order to detect deterioration, the condition of product in stock should be assessed at appropriate planned intervals. The Supplier should use an inventory management system to optimize inventory turns over time and should assure stock rotation, such as “first-in-first-out” (FIFO).

### 8.2 PACKAGING

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

### 8.3 LABELING

Labeling and bar code requirements may vary among Parker divisions. The Parker Buyer will provide the Supplier with the necessary specifications.

### 8.4 DELIVERY

The Supplier should systematically inform Parker of any delay in delivering product and provide a new dispatch date. The Supplier is responsible for additional transport costs due to delays.

#### ***Certificates of Conformance (CoC)***

***A signed CoC by the Suppliers head of quality or company officer (or their authorized delegate) attesting that all products and/or services delivered are in compliance with all contract requirements shall be furnished with each shipment to Parker Aerospace, All CoC's must be in the English language and may be in electronic format with electronic signatures. All signatures or signature blocks must clearly show title of the signatory. The CoC shall include:***

- a) Supplier Name***
- b) part number***
- c) drawing/specification revision***
- d) Parker contract number***



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*e) line/release number (when applicable)*

*f) quantity delivered*

*g) packing list/shipper number (when applicable)*

***When additional certifications/test reports are required for special processing, raw material, etc. the requirements will be specified on the contract.***

## 8.5 RECORD RETENTION

The Supplier shall retain quality records for a time period specified by the Parker contract or related reference documents. Upon request, the Supplier shall be capable of retrieving and delivering required records to Parker within forty-eight hours from time of request by Parker.

***Unless otherwise specified by Parker Aerospace, the Supplier shall maintain all records that provide objective evidence of compliance to Parker contract requirements for a minimum of fifteen (15) years after the last delivery of products and/or services on the contract. Prior to discarding, transferring to another organization, or destruction of such records, the Supplier shall notify the Parker Buyer in writing and give Parker the opportunity to gain possession of the records. These requirements are applicable to records generated by Supplier’s sub-tier sources.***

## 9 • CONTINUAL IMPROVEMENT

Suppliers should define a process for continual improvement. Recommend ISO 9004, including Annex B. A copy of the Supplier’s continual improvement program shall be furnished to Parker upon request

### 9.1 PROBLEM SOLVING PROCESS

Suppliers should use a closed-loop corrective action process whenever a problem is encountered internally or upon notification from Parker. For example:

1	Describe the Problem	State what the problem “Is,” and “Is Not” with respect to what, where, when, who, how, and how many. Use quantitative terms.
2	Use a Team Approach	Consult and coordinate with relevant stakeholders.
3	Apply Containment	Immediately contain any suspect product to protect Parker and its customers.
4	Root Cause Analysis	Identify potential causes, analyze causes for failure mode, validate root cause(s), and identify solutions.
5	Implement Permanent Corrective Action	Implement solution. Update applicable FMEA, control plan and work instructions.
6	Verify Effectiveness of Corrective Action	Use check sheets, auditing, sampling, and/or control plans to monitor process performance for effectiveness and sustained improvement.
7	Implement Preventive Action	Implement changes to prevent the same type of error from occurring in similar products/processes. Update applicable documents.
8	Management Support	Review, approve, and support. Provide resources and team recognition.

For additional guidance on problem solving methods, tools, training, and related references, refer to AIAG document CQI-10.



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## 9.2 CORRECTIVE ACTION REPORT

Parker may issue a request for a Corrective Action Report (CAR) to the Supplier when nonconforming material, components, or assemblies are found. When a formal reply is requested (whether hard copy or electronic media), the Supplier should use Corrective Action Report (Form PH-CAR) shown in the FORMS AND EXHIBITS section of this manual, or other convenient media of equivalent content.

When documenting the root cause, the Supplier shall include the underlying reasons:

- a) why the specific nonconforming condition or incident occurred,
- b) why it was not detected by the Suppliers quality controls, and
- c) why the related process, from a systemic viewpoint, allowed the nonconformance (and potentially others like it) to occur.

The Supplier should apply the following criteria to determine whether the underlying root cause has been identified:

- 1. It initiates and causes the event you are seeking to explain.
- 2. It is directly controllable.
- 3. The elimination of that root cause will result in the elimination or reduction of the problem.

Statements from the Supplier indicating that the corrective action is to alert or retrain the operator, and/or increase inspection, alone, are NOT acceptable corrective actions. These kinds of actions would be considered insufficient and 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 and not be detected by quality controls.

Unless otherwise requested by Parker when notified, the Supplier shall respond to a request for corrective action as follows:

Required Action	Timeline (from initial notification by Parker)
The Supplier shall promptly acknowledge receipt of notification and communicate to Parker the immediate containment actions to be taken.	<i>Within 24 hours</i>
<p>The Supplier shall provide an update of the containment plan to protect Parker during the interim period. This update must include:</p> <ul style="list-style-type: none"> <li>▪ Confirmation that the Supplier has identified all suspect product in process, in stock, in transit, and potentially at any Parker site by lot number, Parker contract number, and quantity.</li> <li>▪ Additional specific containment actions needed to be taken by the Supplier and/or Parker.</li> </ul>	<i>Within 72 hours</i>
The Supplier must submit the completed Corrective Action Report (Form # PH-CAR, or equivalent) indicating the permanent actions taken, or to be taken, to prevent recurrence of the same problem, to prevent the occurrence of similar problems, and the applicable effectivity dates.	<i>Within 10 business days</i>

## 10 • DOCK-TO-STOCK PROGRAM

Parker expects to receive products from Suppliers with zero defects allowing products to move directly from dock to stock, or to the point of use, without incurring additional costs associated with

receiving inspection. Parker may charge Suppliers for costs to sort, evaluate, and return products that do not meet requirements. Where allowed, Parker's respective divisions will administer a Dock-to-Stock program on the basis of individual part numbers, product families, or overall Supplier performance.

Where implemented, Dock-to-Stock applies to material and components released for production that ship to a particular Parker location. However, Parker 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 at any time.

Dock-to-Stock typically does not include pre-released parts, samples, prototypes, pilot fabrication runs, first articles for new tooling or processes, and other low-volume applications.

## 10.1 DOCK-TO-STOCK REQUIREMENTS

To be considered for Dock-to-Stock, the product must meet the following requirements:

- Must be from an approved Parker Supplier
- The Supplier must meet requirements for a certain number of consecutive lots of the same part number being accepted by the same Parker location
- The Supplier must not be rated as having unacceptable product quality performance
- No open and delinquent corrective action requests for the part number (or products from the same family)

## 10.2 DOCK-TO-STOCK SUSPENSION

The Supplier's Dock-to-Stock privilege can be suspended when any of the following conditions occur:

- A part number is detected as non-conforming
- The Parker Buyer is made aware that the Supplier has a major non-conformance related to a second or third-party quality management system audit
- When results or audit evidence show the Supplier is not following their approved Control Plan or related work instructions

Generally, the suspension process is as follows:

- a. Parker Buyer will notify the Supplier that their Dock-to-Stock privilege has been suspended.
- b. Parker will issue a request for corrective action to the Supplier.
- c. The suspension should end when the Supplier satisfies the conditions outlined in the section above.

If the Supplier is put on suspension repeatedly, the Parker Buyer may place the Supplier on new business hold and/or divert the business to an alternate Supplier.

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## 11 • SUPPLIER PERFORMANCE

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Parker's evaluation system uses a number of factors, such as Quality, Delivery, and Process Continuous Improvement (PCI) to develop an overall Supplier performance rating. This rating serves as an objective measure to determine whether Parker expectations are being met. Parker's delivery mechanism for the Supplier performance rating is "Supplier Metrics" accessible via PHconnect. PHconnect Supplier Metrics is the primary performance rating system used by Parker.

At Parker's discretion, the Parker Buyer may determine that to address the Suppliers performance deficiencies, a meeting with Supplier's management is necessary and a Supplier documented corrective action and improvement plan is required.



# Supplier Quality Requirements Manual

## 11.1 PERFORMANCE MEASURES

### ▪ QUALITY

This metric defines the Rejected Parts Per Million (RPPM) shipped using the following formula. The definition of “rejected parts” is the total number of parts returned to the Supplier for any valid quality reason (including those caused by shipping and administrative errors):

$$\text{RPPM} = \frac{\text{Number of Parts Rejected}}{\text{Number of Parts Received}} \times 1,000,000$$

Based on Parker’s current expectations, the following table describes the resulting actions for varying RPPM performance levels:

Premiere	Meets requirement set by Parker
Preferred	Satisfactory; no action required
Marginal	Systemic corrective action may be required
Unacceptable	Systemic corrective action is required and may require Supplier to meet with Parker management representatives.

### ▪ DELIVERY

This metric defines the delivery performance rating using the following formula:

“On time” is based on the contract date, or *kanban* signal

$$\text{Delivery} = \frac{\text{Number of Parts Received On Time}}{\text{Number of Parts Received}} \times 100$$

Based on Parker’s current expectations, the following table describes the resulting actions for varying delivery performance levels:

Premiere	Meets requirement set by Parker
Preferred	Satisfactory; no action required
Marginal	Systemic corrective action may be required
Unacceptable	Systemic corrective action is required and may require Supplier to meet with Parker management representatives.

### ▪ CONTINUAL IMPROVEMENT

This metric is the percent of savings to annual spend. Spend is defined as the dollar amount Parker purchased from the Supplier. The following formula defines the calculation:

$$\% \text{ Savings} = \frac{\text{Dollar Value of Ideas Submitted}}{\text{Total Dollar Spend} \times \text{Continuous Improvement Commitment Percentage}}$$

Investigative requests will be used to initiate ideas generated by Parker representatives. The requests are used to cultivate ideas within the Supplier’s organization and to assist the Supplier in meeting the Process Continuous Improvement (PCI) targets. PCI objectives are the responsibility



# Supplier Quality Requirements Manual

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of the Supplier to meet, and are not dependent on the number of investigative requests submitted by Parker. Investigative requests will be executed using PH Connect (Parker's Web-based Supplier Portal).

PH Connect is the primary medium by which continuous improvement ideas are submitted. The Parker Procurement (Supply Chain) Department is responsible for the installation and training of the system within the Supplier's operation. PH Connect On-Line Help is the instructional reference for use of the system.

## **11.2 SUPPLIER DEVELOPMENT PROGRAM**

Parker's Supplier Development Program is designed to improve the Supplier operations in all aspects of their business, which includes new product development, engineering, quality, communication, performance, delivery, and cost through the implementation of a Lean Enterprise Program in conjunction with appropriate quality tools. For further information, you may contact your Parker Buyer.



## • APPLICABLE DOCUMENTS

The following documents are referenced within this manual and may be applicable to the extent specified by Parker in the contract and applicable reference documents. Copies may be obtained from the sources shown. It is the Suppliers responsibility to obtain applicable documents and to ensure that current revisions are maintained and available to its operations, as required.

Document	Document Title	Available From
ISO 9001	Quality Management System Requirements (General)	<a href="http://www.ansi.org">www.ansi.org</a> <a href="http://www.iso.ch">www.iso.ch</a>
AS/EN/JISQ9100	Quality Management System Requirements (Aerospace)	<a href="http://www.sae.org">www.sae.org</a> <a href="http://www.asd-stan.org">www.asd-stan.org</a>
AS9003	Inspection and Test Quality System (Aerospace)	<a href="http://www.sae.org">www.sae.org</a>
ISO/TS 16949	Quality Management System Requirements (Automotive)	<a href="http://www.ansi.org">www.ansi.org</a> <a href="http://www.aiag.org">www.aiag.org</a>
ISO 13485	Quality Management System Requirements (Medical)	<a href="http://www.ansi.org">www.ansi.org</a> <a href="http://www.iso.ch">www.iso.ch</a>
APQP	Advanced Product Quality Planning & Control Plan Manual	<a href="http://www.ansi.org">www.ansi.org</a> <a href="http://www.aiag.org">www.aiag.org</a>
PPAP	Production Part Approval Process Manual	<a href="http://www.ansi.org">www.ansi.org</a> <a href="http://www.aiag.org">www.aiag.org</a>
SPC	Statistical Process Control Manual	<a href="http://www.ansi.org">www.ansi.org</a> <a href="http://www.aiag.org">www.aiag.org</a>
MSA	Measurement System Analysis Manual	<a href="http://www.ansi.org">www.ansi.org</a> <a href="http://www.aiag.org">www.aiag.org</a>
FMEA	Potential Failure Mode & Effects Analysis Manual	<a href="http://www.ansi.org">www.ansi.org</a> <a href="http://www.aiag.org">www.aiag.org</a>
CQI-10	Effective Problem Solving Guideline	<a href="http://www.ansi.org">www.ansi.org</a> <a href="http://www.aiag.org">www.aiag.org</a>
ISO 9004	Quality Management Systems - Guidelines for Performance Improvements	<a href="http://www.ansi.org">www.ansi.org</a> <a href="http://www.iso.ch">www.iso.ch</a>



# Supplier Quality Requirements Manual

## • FORMS AND EXHIBITS

Many of the required forms are available in the respective AIAG core tools manuals and other reference documents. Certain unique Parker forms are exhibited herein\*. Electronic versions of these and other Parker forms (including those considered equivalent to the AIAG forms) may be obtained from your Parker Buyer.

Form Number	Form Title	Available From
CFG-1001	Part Submission Warrant	See PPAP Manual
THE-1001	Part Submission Warrant	See PPAP Manual
CFG-1003	PPAP-Dimensional Results	See PPAP Manual
CFG-1004	PPAP-Material Test Results	See PPAP Manual
CFG-1005	PPAP-Performance Test Results	See PPAP Manual
PH-CAR	Corrective Action Report *	Parker Buyer
PH-CPLAN	Control Plan *	Parker Buyer
PH-FAI	First Article Inspection Report *	Parker Buyer
PH-FMEA	Failure Mode and Effects Analysis	Parker Buyer
PH-PPCN	Product/Process Change Notification *	Parker Buyer
PH-SDR	Supplier Deviation Request *	Parker Buyer
PH-SQA	Supplier Quality Assessment	Parker Buyer
PH-ISO 9001	ISO 9001 Quality Management System Audit	Parker Buyer



Parker Hannifin Corporation

# CORRECTIVE ACTION REPORT

Organization Name: \_\_\_\_\_ Phone: \_\_\_\_\_  
 Address: \_\_\_\_\_ FAX: \_\_\_\_\_  
 Report #: \_\_\_\_\_

**1. Problem Description** - Include facts (i.e., where discovered, by whom, when), specifications, references and attachments

Customer:	Purchase Order #:
Customer Location:	Customer Part #:
Customer Contact:	Organization Part #:
Contact Phone #:	Part Name:
Cust. Request #:	Application:
Date C/A Received:	Quantity Shipped:
Date C/A Due:	Quantity Rejected:

Problem Description:

*(Photo/Sketch)*

*(Photo/Sketch)*

**2. Team Roster**

Name:	Organization:	Title:	Phone:	E-Mail:

**3. Containment Action** - Interim action to immediately isolate the effect of the problem

#	Task Description:	Assigned to:	Due Date:	Effective Date:	Results Achieved:

**4. Root Cause Analysis** - Underlying reasons why the problem occurred AND why it escaped system controls

4a. Identification of Root Causes and Priority Ranking		(0 = No Impact, 1 = Low, 2 = Medium, 3 = High)	Rank (0 - 3)
Cause Categories:	Description		
<i>People</i>			
<i>Methods/Procedure</i>			
<i>Equipment</i>			
<i>Material</i>			
<i>Environment</i>			
<i>Measurement</i>			

4b. Five-Why Analysis of Root Causes - Answer why the problem occurred AND why it escaped system controls					
Cause:	Why?	Why?	Why?	Why?	Why?

5. Corrective Action - Steps taken to eliminate root cause(s).					
The solution to this problem includes a detection mechanism or error-proofing device to prevent recurrence: <input type="checkbox"/> Yes <input type="checkbox"/> No					
#	Task Description:	Assigned to:	Due Date:	Effective Date:	Results Achieved:

6a. Preventive Action - Steps taken to modify systems and procedures to prevent recurrence of a similar kind elsewhere					
#	Task Description:	Assigned to:	Due Date:	Results Achieved:	

6b. Read-Across - Steps taken to implement or share preventive action within other sites of the business unit or corporation.					
#	Task Description:	Assigned to:	Due Date:	Results Achieved:	

7. Verification - Identify methods to verify completion and effectiveness of actions taken					
Verify the implementation and changes to: <input type="checkbox"/> Policies/Procedures <input type="checkbox"/> Work Instructions <input type="checkbox"/> FMEA <input type="checkbox"/> Control Plans <input type="checkbox"/> N/A					
#	Method:	Assigned to:	Due Date:	Results:	

8a. Management Review - Endorsement and support by the organization responsible for correction					
Originator's Name: _____	Sign: _____	Approved: _____	Date: _____	Phone: _____	E-Mail: _____
Top Management: _____	Sign: _____	Approved: _____	Date: _____	Phone: _____	E-Mail: _____

8b. Final Closure - The organization responsible for correction acknowledges completion of all action items					
Quality Management Representative: _____	Sign: _____	Closed: _____	Date: _____	Phone: _____	E-Mail: _____



# CONTROL PLAN

<input type="checkbox"/> Prototype	<input type="checkbox"/> Pre-launch	<input type="checkbox"/> Production	Key Contact/Phone	Date (Original)	Date (Revised)
Control Plan Number					
Part Number/Latest Change Level			Core Team	Customer Engineering Approval/Date (If Required)	
Part Name/Description			Supplier/Plant Approval/Date	Customer Quality Approval/Date (If Required)	
Supplier/Plant		Supplier Code	Other Approval/Date (If Required)	Other Approval/Date (If Required)	

Part/Process Number	Process Name/ Operation Description	Machine, Device, Jig, Tools For Mfg.	Characteristics				Spec. Char. Class	Methods			Reaction Plan	
			No.	Product	Process	Product/Process Specification/ Tolerance		Evaluation Measurement Technique	Sample			Control Method
									Size	Frequency		

# First Article Inspection Report

Product Description					
Supplier Part Number	Rev	Customer Part Number	Rev	Description	Report Number

Measurement Results						
Item No.	Zone/ Page	Characteristic & Tolerance	Actual Measurement	Status		Comments
				Accept	Reject	

Acknowledgement	
Supplier Organization:	Date:
Prepared by (Name):	Phone:
Title:	FAX:
Signature:	E-mail:

# PRODUCT / PROCESS CHANGE NOTIFICATION



Complete this form, unless another form is specifically requested, and email to your customer organization whenever customer notification is required.

To: \_\_\_\_\_ Customer: \_\_\_\_\_

Organization Part Number: \_\_\_\_\_ Engineering Rev. Level: \_\_\_\_\_ Dated: \_\_\_\_\_

Customer Part Number: \_\_\_\_\_ Engineering Rev. Level: \_\_\_\_\_ Dated: \_\_\_\_\_

Purchase Order Number: \_\_\_\_\_ Safety and/or government regulation: \_\_\_\_\_

Application: \_\_\_\_\_

## ORGANIZATION MANUFACTURING SUBMISSION INFORMATION

Organization (Parent Company): \_\_\_\_\_

Division: \_\_\_\_\_ Supplier Code: \_\_\_\_\_

Street Address: \_\_\_\_\_

**Change Type** (Check all that apply)

City, State & Zip: \_\_\_\_\_

Dimensional  Appearance

Country: \_\_\_\_\_

Materials  Process

Functional

## Customer Plants Affected:

**Design Responsibility:**  Customer  Organization

## **Organization Change That May Affect End Item:**

Product Change  Engineering Drawing Change  New or Revised Subcomponent

**Expected PPAP Completion/Submission Date:** \_\_\_\_\_

## **DETAILED DESCRIPTION OF PRODUCT/PROCESS CHANGE:**

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Planned Date of Implementation: \_\_\_\_\_

## **DECLARATION:**

I hereby certify that representative samples will be manufactured using the revised product and/or process and verified, where appropriate, for dimensional change, appearance change, physical property change, functionally for performance and durability. I also certify that documented evidence of such compliance is on file and available for customer review.

Explanation/Comments: \_\_\_\_\_

**NAME:** \_\_\_\_\_ **TITLE:** \_\_\_\_\_

**BUSINESS PHONE NO:** \_\_\_\_\_ **FAX NO:** \_\_\_\_\_

**E-MAIL ADDRESS:** \_\_\_\_\_ **DATE:** \_\_\_\_\_

*NOTE: Please submit this notification prior to the planned change implementation!*



# SUPPLIER DEVIATION REQUEST

## Section I – To be completed by Supplier

SDR# \_\_\_\_\_

Supplier Name: \_\_\_\_\_ Supplier Code: \_\_\_\_\_

Street Address: \_\_\_\_\_ City/State/Zip/Country: \_\_\_\_\_

Requestor's Name: \_\_\_\_\_ Title: \_\_\_\_\_ Request Date: \_\_\_\_\_

Phone: \_\_\_\_\_ Fax: \_\_\_\_\_ E-Mail: \_\_\_\_\_

Purchase Order No.: \_\_\_\_\_ Quantity Affected: \_\_\_\_\_

Parker Buyer Name: \_\_\_\_\_ Phone: \_\_\_\_\_

Supplier Part (or Process) Number: \_\_\_\_\_ Revision: \_\_\_\_\_ Rev. Date: \_\_\_\_\_

Customer Part (or Process) Number: \_\_\_\_\_ Revision: \_\_\_\_\_ Rev. Date: \_\_\_\_\_

Part (or Process) Name: \_\_\_\_\_ Application/Program: \_\_\_\_\_

Check One:  This is a ONE-TIME Deviation Request  This is a TEMPORARY Deviation Request

<p>A) Description of Nonconformance and/or Proposed Deviation:</p> <p>B) Effect of Deviation:</p> <p>C) Reason for Deviation Request:</p> <p>D) How Delivery Schedule Will Be Affected:</p> <p>E) How Cost Will Cost Be Affected:</p>	<p>Design Responsibility:</p> <p><input type="checkbox"/> Supplier</p> <p><input type="checkbox"/> Parker</p> <p>Batch/Lot or Serial No.: _____</p> <p>Deviation Type (Check All That Apply):</p> <p><input type="checkbox"/> Dimensional</p> <p><input type="checkbox"/> Material</p> <p><input type="checkbox"/> Functional</p> <p><input type="checkbox"/> Appearance</p> <p><input type="checkbox"/> Process</p> <p><input type="checkbox"/> Mfg. Location</p> <p><input type="checkbox"/> Parker's Supplier Quality Requirements</p>
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## Section II – To be completed by Parker

<b>DISPOSITION:</b>	<input type="checkbox"/> <b>REJECTED</b>	<input type="checkbox"/> <b>APPROVED</b>
Special identification requirements:		<input type="checkbox"/> This lot only! <input type="checkbox"/> Temporary; Effective Until: _____

Engineer Name: \_\_\_\_\_ Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Quality Eng Name: \_\_\_\_\_ Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Q.E. Phone: \_\_\_\_\_ Fax: \_\_\_\_\_ E-Mail: \_\_\_\_\_

Buyer's Name: \_\_\_\_\_ Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Buyer's Phone: \_\_\_\_\_ Fax: \_\_\_\_\_ E-Mail: \_\_\_\_\_