



**L3Harris Aviation  
Products**

**Work Instruction**

**L3Harris Aviation Products, Inc.,  
a subsidiary of L3Harris Technologies, Inc.  
Purchase Order Quality Terms and Condition  
Flow Downs**

**No: 0631P1  
Rev: BE  
Date: 07/11/24  
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**1.0 PURPOSE**

This document establishes basic L3Harris Aviation Products, Inc. (APD-GRR) Quality Flow Down Requirements for the Seller necessary to ensure that the supplies/services purchased from the Seller meets the required quality levels.

**2.0 REFERENCES**

L3Harris Technologies GENERAL TERMS AND CONDITIONS govern the Subcontract between parties. The L3Harris Technologies current GENERAL TERMS AND CONDITIONS can be obtained from the following sites:

<https://www.l3harris.com/supply-chain>

LGL-50.F1 – General Terms and Conditions-Non-Commercial Items and Services Purchased for a U.S. Government Contract

LGL-50.F2 – General Terms and Conditions-Commercial Items and Services Purchased for a U.S. Government Contract

LGL-50.F3 – General Terms and Conditions-Commercial Items and Services Purchased for a Non-Government Contract

<https://www.l3harris.com/resources/other/avionics-customer-support-documentation>

0631Q1 – Purchasing Specification Attachment “W” Quality Assurance Requirements

Unless otherwise specified on the contract/agreement, the revisions of the T&C’s, the Subcontract Supplements, and the Purchasing Specifications “W” applied are based on the contract issuance date.

**3.0 DEFINITIONS**

Words, as employed in this Agreement, shall have their normally accepted meanings. The following terms shall have the described meaning:

**3.1 “BUYER”** means APD-GRR, issuing the purchase order (physically or electronically) which invokes this document.

**3.2 “SELLER”** means the vendor/supplier and/or distributor performing the work/supplying materials, parts, assemblies, subassemblies, systems, subsystems or services pursuant to the purchase order (physically or electronically).

**4.0 GENERAL REQUIREMENTS**

**4.1 APPLICABILITY** – These general requirements shall apply to Sellers whenever APD-GRR- WI0631P1 is invoked by Purchase Order. IMPORTANT: Applicable revision status of such specifications shall be the revision in effect on date of Purchase Order, unless otherwise specified in the Purchase Order or related documents. Revision status of procured/deliverable items shall always be as specified in the Purchase Order. Additional quality requirements may be required and shall be included on the Purchase Order.

**4.2 SELLER’S QUALITY MANAGEMENT SYSTEM** – The Seller’s quality management system shall conform to the General Requirements Section 4.0 of WI0631P1 and other applicable specifications when invoked by Purchase Order.

**4.2.1 Organization** – Quality management responsibility shall be clearly designated within the Seller’s organization. Personnel having this responsibility shall have sufficient authority to assure that quality is not compromised.

**4.2.2 Procedures** – The Seller’s quality management system shall be implemented by written procedures, which adequately provide for compliance with the requirements of WI0631P1 Section 4.0.

**4.2.3 Changes in Quality System** – The Seller shall immediately notify the Buyer in writing of any change to:

(a) The quality management system that may affect the inspection, conformity or safety of the product,

(b) Quality leadership, or

(c) Quality management system status (e.g., Seller converts to an ISO9000-based system; or Seller no longer is registered to AS9100).

**CAUTION:** once Seller is placed on Buyer’s Approved Supplier List (ASL), loss of any registrations (e.g. ISO-9001, AS9100, etc), or failure to comply with WI0631P1 Section 4 may result in Purchase Orders being revoked.

**4.3 CONTRACT REVIEW** – Sellers shall establish and maintain documented procedures for contract review and for the coordination of these activities. Before submission of a tender or the acceptance of a contract or order (statement of requirement), the tender, contract or order shall be reviewed by the Sellers to ensure that:

(a) The requirements (drawings, specifications) are adequately defined

and documented; where no written statement of requirement is available for an order received by verbal means, the Sellers shall ensure that the order requirements are agreed before their acceptance.

(b) Any differences between the contract or order requirements and those in the tender are resolved.

(c) The Sellers have the capability to meet the contract or order requirements.

(d) Risks associated with new technology and/or short delivery time scales have been evaluated.

**4.4 NOTIFICATION OF CHANGES** – Regardless of who has design authority, Seller shall promptly notify Buyer in writing of intended changes of manufacturing location affecting Buyer’s procurements before making the changes.

**4.4.1 Seller With Design Authority** – The Seller shall promptly notify the Buyer of any design or process changes that affect fit, form, or function, quality, reliability or safety of product on this order and obtain Buyer’s approval to proceed with manufacture and delivery of this order.

**4.4.2 Buyer Has Design Authority** – When the Seller desires to change the Buyer’s design or change the process that produced the component used by the Buyer to qualify the component at the existing drawing revision level, written authorization must be obtained from the Buyer. NO CHANGES ARE PERMITTED WITHOUT THIS AUTHORIZATION.

**4.5 DRAWING AND CHANGE CONTROL** - The Seller’s system shall assure that the latest applicable drawings, specifications, technical requirements, Purchase Order information and changes thereto will be available at the time and place of Seller’s acceptance of material and/or services or as negotiated and agreed to in writing by Buyer and Seller. All changes shall be processed in a manner, which will assure incorporation on the affected material and/or services at specified effectivity points. On Buyer-designed parts, Buyer may require that the Seller’s Change Control System be compatible with that of Buyer.

**4.6 PROCUREMENT BY THE SELLER** – The Seller shall maintain a system to assure that Seller-procured materials and/or services conform to Purchase Orders and their respective drawings, specifications. The Seller’s system shall contain controls assuring these requirements and all of the general requirements called out below are flowed to and are met by their sub-tier suppliers. The implementation of such controls shall be subject to surveillance by Buyer.

**4.7 TOOL AND TEST EQUIPMENT CONTROL (BUYER FURNISHED)** – All tooling and test equipment fabricated by the Seller at Buyer expense, or supplied by Buyer for Seller use, shall be considered property of Buyer and/or the procuring government agency. Such tooling and test equipment shall be inspected, calibrated, and controlled as outlined in the following paragraphs. Tool and test equipment controls shall be accomplished by the Seller with review and approval at Buyer’s option.

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**4.7.1** All tools and test equipment, unless size or use prohibits, shall be identified with a tag permanently attached, which contains the following information: Property of APD-GRR; Inspection Date or Government Re-inspection Due Date; Seller's Name; Calibration Date; Part Number of Tool or Test Equipment; Re-calibration Due Date.

**4.7.2** If not otherwise specified, all equipment that is used to determine acceptance of material will be subject to, as a minimum, an initial inspection and calibration, and a re-inspection and re-calibration every six (6) months thereafter or according to NIST standards.

**4.7.3** The Seller shall be responsible for maintaining adequate records of all tooling and test equipment indicating periodic inspections and calibrations. Such records shall be readily available to the Buyer's Quality Assurance Representative and/or the Government Procuring Agency Representative.

**4.7.4** The Seller shall have a system, which includes written procedures for control of all tooling and test equipment. Procedures shall be in accordance with the controls specified herein.

**4.7.5** Any tooling or test equipment furnished to the Seller by Buyer shall not be reworked or modified without prior written approval of Buyer.

**4.7.6** Tooling or test equipment shall be properly maintained and preserved.

**4.8 PRODUCT IDENTIFICATION AND TRACEABILITY** – The Seller shall maintain documented procedures for identification of product from receipt and during all processes of production and delivery. When traceability is a specified requirement, the Seller shall establish and maintain documented procedures for unique identification of individual product or batches; this identification shall be recorded. See **RECORDS** paragraph 4.17.

**4.9 PROCESSING** – The Seller shall establish a system to assure that all processes, even including those, which cannot be readily verified by inspection, will conform to specification requirements. Those processes to which Government specifications apply are subject to the applicable requirements regarding certifications or approval by Government agencies. When critical or special processes are performed outside the Seller's facility, it shall be the Seller's responsibility to assure proper performance of all such processes through surveys, certification, testing, etc. These processes include, but are not limited to, welding, X-Ray, magnetic particle and fluorescent penetrant inspection, heat-treating, plating, and anodizing.

**4.10 INSPECTION AND TEST** – The Seller shall provide and maintain suitable gages, instruments, and test equipment to measure and test all material for conformance to Buyer's requirements. The Seller shall perform inspection and/or test on end items covered by the Purchase Order prior to submission to Buyer or prior to delivery. Inspection/test of material, which cannot be readily examined in the end items, must be performed at the appropriate in-process stages of manufacturing. Records of inspection/tests must be maintained by the Seller for a period of 10 (TEN) years unless otherwise negotiated with Buyer.

**4.10.1 CHEMICAL AND PHYSICAL ANALYSES** – Chemical and physical analyses are required with each shipment of raw material (i.e., sheet, rod, bar stock). Suppliers of raw material or components containing greater than 0.25% (one quarter of one percent) carbon are required to produce chemical and physical analyses and maintain these records for a minimum of 10 (TEN) years.

**4.10.2 PRINTED CIRCUIT BOARDS** – Printed circuit boards shall be shipped with evidence of solderability. This may be done by submitting unsoldered coupons, partial boards, or completed boards to Buyer for evaluation. Multi-layered boards shall be submitted with cross-section(s). The cross-section shall show all of the inner layers making contact with the walls of the plated holes to determine internal layer registry, plating thickness, and internal integrity of the boards. Each cross-section shall be identified with board part number and lot/batch code.

**4.10.3 SAMPLING BY THE SELLER** – Any statistical sampling procedures used in inspection/test must be approved by APD-GRR. When sampling is used for inspection/test of Buyer's product (from incoming

through final inspection/test), the methodology shall be statistically valid, appropriate for use, and preclude the acceptance of known defectives in the lot.

**4.11 MEASURING AND TEST EQUIPMENT CALIBRATION SYSTEM** – The Seller shall maintain a system, including written procedures, to assure inspection and evaluation of measuring and test equipment used on Buyer's product or articles, whether Seller-owned or supplied by Buyer or another agency. This system shall assure that inherent accuracy of the equipment is comparable with requirements of units being tested, and that required measurements are adequately performed. The system shall include appropriate calibration schedules and records captured in writing or on other acceptable storage media, and shall include equipment or device type, unique identification, location, frequency of checks, check method and acceptance criteria. Tools, inspection devices and test equipment shall be tagged and contain the following information: name of owner, name of company performing the calibration, inspection due date, calibration date, tool identification number and re-calibration due date.

**4.12 MEASUREMENT STANDARDS CONTROLS** – The Seller's working standards used for calibration of tooling, measuring, and test equipment shall be checked at established intervals against suitable higher-level standards that, in turn, will be checked at established intervals by reference to National Institute of Standards Technology (NIST) or equivalent certified primary standards. The Seller shall maintain records or other conclusive evidence that proper control is being provided. Buyer may conduct, in the Seller's facility, an evaluation of the Seller's standards, measuring/testing devices, and calibration/maintenance personnel and methods to establish correlation between Buyer's and the Seller's measurements.

**4.13 INSPECTION AND TEST STATUS** – The Seller shall maintain a system for identifying inspection and test status of material. Identification may be accomplished by means of stamps, tags, routing cards, labels, bar codes, electronic databases, or other control devices. Final acceptance stamps must provide Seller with identification unless identification is provided on the product by other acceptable means. The Seller shall be responsible for maintaining procedures for governing the control of inspection authority and shall, upon request, forward a record of such authority to the Buyer.

**4.14 MATERIAL REVIEW** – The Seller **shall not** exercise Material Review authority on end items without written approval by Buyer's Quality Assurance Organization. (This applies only to material that is Buyer-designed and/or design controlled to Buyer's specifications.)

**4.14.1** Requests from Seller to Buyer for Material Review authority shall include:

- (a) Material Review procedures including copies of applicable forms, tags, and other control media, and a description of their usage.
- (b) A resume of each of the Seller's Material Review members and alternates, including background, experience, education, etc.
- (c) Evidence of approval of the Seller's Material Review members and procedures by the Seller's cognizant Government Quality Control Representative, if applicable.

**4.14.2** When the Seller is approved to effect Material Review action:

- (a) Seller shall furnish three copies of all Material Review reports to Buyer's Quality Assurance Organization via Buyer's Purchasing. One copy of each Material Review action shall be included with the shipment of affected material. These reports shall list in detail the salvage methods utilized, if applicable.
- (b) Buyer retains final review authority over Seller's Material Review decisions.
- (c) The Seller **shall not** make substitution of Material Review members or delegate Material Review authority to subcontractors performing work on Buyer parts without informing Buyer in advance.
- (d) Seller's Material Review action is not allowed when interchangeability, external configuration, function, service life, safety, reliability, or point of attachment to Buyer assemblies is affected.

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**4.15 CORRECTIVE ACTION** – The Seller’s quality management system shall have written procedures for ready detection of discrepancies and for prompt and effective corrective action. Corrective action must prevent reoccurrence, including firm effectivity points by serial number, part number, date, or other agreed methods. Corrective action records and information, such as pertinent data on defects and failures, shall be available.

**4.15.1** The Seller is responsible for initiation of prompt replies to Buyer Nonconforming Material Reports and/or Corrective Action Reports, and implementation of required corrective action.

**4.15.2** When corrective action is required by the Buyer for Government source-inspected items, the Seller shall coordinate such action with the Government source inspector at his plant.

**4.15.3** If the Seller determines the Buyer’s purchase order requirements were not met after the product or article has already shipped to the Buyer, the Seller shall notify the Buyer immediately in writing. Purchase Order requirements include part number revision level, form, fit, function, quality, reliability and safety of the product or article. The Seller shall initiate an internal Corrective Action Report that includes a definition of the root cause, corrective actions and preventative actions for this problem. The Corrective Action Report will be sent to the Buyer for written approval.

**4.16 PRESERVATION AND PACKAGING** – In addition to specific packaging and preservation instructions invoked in the Purchase Order, the following applies:

**4.16.1** All material intended for Buyer shall be protected against the usual hazards of electrostatic discharge (ESD), corrosion, contamination, deterioration, or other spoilage at the Seller’s facility and in transit.

**4.16.2 FOD (FOREIGN OBJECT DAMAGE):** Where appropriate based on the product and/or process, a FOD prevention program (ref. NAS-412, AS9146, or equivalent) shall be implemented and maintained by the Seller.

**4.16.3** All material intended for Buyer shall be packed with suitable protection so as to prevent damage through handling, during storage at the Seller, in transit, and during storage at Buyer’s facility before use.

**4.17 RECORDS** – The Seller shall maintain adequate records of inspections, tests, and other quality control activities, including the part number drawing revision level called out on the associated Purchase Order. Records shall provide objective evidence of the quality control operations performed, the results obtained and corrective actions taken. Such records shall be available to Buyer.

**4.17.1** Where such records are traceable by serial or lot designation to material supplied to Buyer, they shall be retained for a period of at least 10 (TEN) years from the date of shipment to APD-GRR.

**4.17.2** After 10 (TEN) years or if the business relationship between Buyer and Seller has ended, then the Seller must contact the Buyer for the disposition of records. When source inspection is used, inspection plans specific to the situation shall state the retention requirements for records generated.

**4.18 AGE CONTROL** – The Seller shall maintain a documented system for age control items where acceptability is limited by maximum age. The system shall include a method of identifying and controlling such items.

**4.19 NOTIFICATION OF PROBLEMS** – The Seller shall notify the Buyer immediately when products or articles that have been released from their quality system and that do not conform to the applicable design data, quality system requirements or Purchase Order part number drawing revision level. The Seller shall have procedures for identifying, analyzing and initiating appropriated corrective action, including a notification process and process for product recall. See also **CORRECTIVE ACTIONS** paragraph 4.15.

**4.19.1** Seller shall not knowingly ship non-conforming material without written authorization from APD-GRR.

**4.20 SURVEYS AND SURVEILLANCE** – The Buyer, the Buyer’s customer and Buyer’s regulatory authorities may conduct a survey and/or perform surveillance of the Seller’s facility or the Seller’s sub-tier suppliers’ facilities to determine Seller’s compliance with the Buyer’s applicable requirements,

or assist in the resolution of quality problems. As necessary, any tier of a Buyer’s Customer may accompany the Buyer’s Quality Assurance Representative.

**4.21 BUYER QUALITY CONTROL REPRESENTATIVE** – Buyer may, at its discretion, provide resident or itinerant quality assurance personnel whose function shall be to survey Seller operations, assist the Seller in the resolution of quality problems, and witness at any stage (subject to proprietary considerations) the manufacture, processing, test, and inspection of items being manufactured for Buyer. The Buyer’s Quality Control representative may bypass receiving inspection when taking receipt of customer provided material. Copies of applicable specifications and documents shall be made available to the Buyer’s Quality Assurance Representative.

**4.22 SELLER ASSISTANCE** – In the event that requirements are not completely clear, or where special assistance is needed, Buyer will provide qualified personnel to consult with the Seller. Requests for assistance shall be made via the Buyer’s Supply Chain Management Department. If inquiries pertain to quality aspects of supplies or services being procured, Buyer’s Quality Assurance Organization may be contacted.

**4.23 GOVERNMENT INSPECTIONS**

**4.23.1 Government Source Inspection** – If the Purchase Order specifies a requirement for Government inspection at the Seller’s plant, it shall be the responsibility of the Seller to notify the Government inspector and provide him with pertinent specifications and any necessary facilities and assistance.

**4.23.2 FAA Surveillance** – Materials and/or components supplied under the terms of this Purchase Order may be utilized in equipment that has been or will be subject to Federal Aviation Administration type certification or Technical Standard Order Authorization/Parts Manufacturer Approval. Your facility and quality system are subject to surveillance by authorized representatives of the Federal Aviation Administration. The Seller shall provide all reasonable facilities and assistance to the authorized FAA representatives, upon request.

**4.23.3 DOT/FAA Drug and Alcohol Testing** – Any work performed for APD-GRR Repair and Overhaul is considered safety sensitive work. The Seller is required to either maintain their own Antidrug & Alcohol Misuse Prevention Program or be a part of the APD-GRR Repair and Overhaul program. As part of this program, certain employees of the Seller, and employees of subcontractors at any tier below you, will be tested under an FAA-regulated program. If the Seller chooses to maintain their own program, it must be in accordance with the regulations set forth in: Department of Transportation (DOT) Title 49 CFR Part 40 and Federal Aviation Administration (FAA) Title 14 CFR Part 120. Seller’s facility is subject to surveillance by authorized representatives of the Department of Transportation or the Federal Aviation Administration. The Seller shall provide all reasonable facilities and assistance to the authorized DOT/FAA representatives, upon request. You agree to hold harmless APD-GRR and APD-GRR Repair and Overhaul for noncompliance of DOT/FAA regulations by yourself or by a subcontractor at a lower tier. For further information, reference the DOT Office of Drug & Alcohol Policy & Compliance website at: <http://www.dot.gov/ost/dapc>. **NOTE:** This general requirement does not apply to calibration suppliers.

**4.24 FIRST ARTICLE INSPECTION** – First Article Inspection (FAI) shall be performed by Seller in accordance with the requirements of AS9102. Prior to shipment of the first production unit for each part number, a first article inspection (FAI) shall be performed by the Seller at the Seller’s location. The FAI data package shall include objective evidence of conformance of all characteristics. Results shall be documented in report form per a First Article Inspection Report (FAIR) in accordance with SAE AS9102 compliant system, Aerospace First Article Inspection Requirement format, and maintained at the Seller’s location. The FAI shall require an update (i.e., delta FAI) for changes in design, configuration and manufacturing location. The FAI package shall be available on request **and maintained for a**

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period of no less than 10 (TEN) years or longer as negotiated by Buyer.

**4.24.1** For parts where the Buyer has design authority, a copy of the FAI report shall ship with the product delivery shipping container, but shall be kept separated from the product, e.g. no paper or non-ESD protected plastic shall touch bare Circuit Card Assemblies.

**4.25 CHARACTERISTICS NOT VERIFIABLE UPON RECEIPT** – The Seller shall provide adequate controls and records, within the quality system, to ensure that characteristics not verifiable upon receipt are adequately controlled.

**4.26 SAMPLING BY THE BUYER** – Buyer reserves the right to use sampling plans for the acceptance or rejection of material and/or services. If a lot is rejected by the sampling procedure, the entire lot may be returned to the Seller or Buyer may screen the rejected lot at the Seller's expense.

**4.27 FINAL ACCEPTANCE** – Inspection/test acceptance at the Seller's facilities by Buyer or the Government does not guarantee final acceptance. Final acceptance shall be at Buyer's facility unless otherwise specified on the Purchase Order. When required by contract, the Seller will comply with the requirement for customer verification of the subcontracted product.

**4.28 CONFORMANCE RESPONSIBILITY** – Surveillance, inspection and/or test conducted by Buyer or representatives of any customer or government agency at the Seller's or Buyer's facility shall not relieve Sellers of their responsibility in meeting the quality requirements of the Purchase Order and WI0631P1 Section 4.0.

**4.29 CERTIFICATION REQUIREMENTS** – The Seller is responsible for compliance with all certification requirements referenced through the Purchase Order and for the maintenance of quality control records evidencing compliance with such requirements, regardless of whether the Seller or his lower-tier suppliers performed work. A Certificate of Conformance (C of C) is required with each shipment. C of C's are required for "Material", "Special Processes", "Parts", "Perishable (limited shelf life)" and "raw" materials. The C of C paperwork may ship with the product delivery shipping container, but shall be kept separated from the product. Additionally, the Seller shall maintain the information to create a "Certificate of Compliance", on demand, for a minimum of ten (10) years. The C of C automatically attests that all material is inspected/tested to an AS9100 and/or ISO-9000, or equivalent (i.e., FAR Part 21, MIL-I-45208A, MIL-Q-9858A, etc.) quality system and meets all Purchase Order requirements. The Seller is required to provide a current copy of their Quality Manual and C of C upon request. The Seller shall make available to the Buyer's Quality Assurance Representative evidence of this certification upon request or audit. Documents and data shall be available for Buyer and/or Government review. The Certificate of Compliance shall have the following minimum content:

- (a) Manufacturer's Name
- (b) Part Number
- (c) Revision
- (d) Serial Number (if applicable)
- (e) Quantity
- (f) APD-GRR P.O. Number
- (g) A statement certifying that the materials and processes used to produce the part meets the specification requirements of the drawing, accompanied by the signature of the Seller's quality authority or his designee.
- (h) CURE DATE for rubber parts

**4.30 ENGLISH LANGUAGE REQUIREMENT** – The Seller shall submit all required quality data (e.g., Seller quality procedures, certificates, reports, or other similar data required by the Buyer), correspondence, and corrective actions responses in the U.S. English language.

**4.31 SELLER OUTSOURCING APPROVAL** – For parts or assemblies where Buyer has design authority, the Seller shall notify Buyer and request written approval when outsourcing a process, part, assembly or end item prior to invoking the change. Any outsourcing must be in accordance with Buyer's Approved Drawing.

**4.32 EVIDENCE OF EFFECTIVE CONTROL** – Verification of product by the Buyer or Buyer's Customer shall not be used by the Seller as evidence of effective control of quality and shall not absolve the Seller of the responsibility to provide acceptable product, nor shall it preclude subsequent rejection by the Buyer or Buyer's Customer.

**4.33 TO OBTAIN SPECIFICATIONS** – When required, the Seller may obtain copies of pertinent specifications through the Buyer's Supply Management Department or the cognizant government agency, if a government specification.

**4.34 GOVERNMENT FURNISHED MATERIAL** – Appendix B of Defense Acquisition Regulations (DAR) or Federal Acquisition Regulations (FAR 45), titled, Government Property in Possession of Contractors, is hereby incorporated and made applicable.

**4.35 TRAINING** – The Seller shall have established procedures for identifying training needs and provide for the training of all personnel performing activities affecting quality. Appropriate records of training shall be maintained.

In addition, the seller shall ensure that personnel are aware of their contribution to product/service conformity and product safety as well as the importance of ethical behavior.

**4.36 INTERNAL QUALITY AUDITS** – The Seller shall have established procedures and perform internal quality audits that assess compliance to their quality system.

**4.37 MANAGEMENT REVIEWS** – The Seller's management shall periodically conduct reviews of the quality system, corrective actions, internal audit results and customer feedback.

**4.38 LOT SPLITTING** – The Seller shall have a procedure for batch, lot or product splitting during all stages of product flow.

**4.39 COUNTERFEIT/SUSPECT PARTS** – In an effort to reduce the risk of counterfeit parts entering the Buyer's supply chain and finished products:

**4.39.1** The Seller, where possible shall procure parts from Original Component Manufacturers and/or Franchised Distributors.

**4.39.2** The Seller shall have written procedures to prevent the acceptance of counterfeit/suspect parts.

**4.39.3** When the Seller is unable to source through the Original Component Manufacturer or Franchised Distributor, then an Independent Distributor may be used, and the Seller shall comply with the requirements of WI0621P2.

**4.40 PROHIBITED PRACTICES** – The following acts or practices are typical of those prohibited:

**4.40.1 Unauthorized Repair – Repairs (by welding, brazing, soldering, or the use of adhesives)** of parts damaged or found faulty in the fabrication process; repairing holes in castings, forgings or other materials by plugging or bushing without authorization from Buyer's Quality Assurance Organization.

**4.40.2 Unauthorized Processing** – Addition, revision, or deletion of processes in manufacturing when those processes are subject to specification control by Buyer.

**4.40.3 Disregard of Approvals** – Change in any process of quality control procedure that is subject to specific approval by Buyer without proper notification and re-approval.

**4.40.4 Improper Material Submittal** – Submission of material having known defects/problems to Buyer without notification and Buyer's written response granting deviation.

**4.40.5 Improper Material Re-submittal** – Resubmission of material to Buyer without material being clearly identified as resubmitted material and Buyer's written response granting deviation.

**4.40.6 Unauthorized Material and Information Transfer** – No Seller shall buy, sell, trade, or transfer APD-GRR related material, parts, part drawings and/or specifications, devices, assemblies or end equipment for purposes other than the performance of APD-GRR business, without prior written approval. Furthermore, no APD-GRR part numbers, or information related to those part numbers, shall be disclosed to entities other than APD-GRR, without prior written approval.

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**4.40.7 Reclaimed Material** – No Seller shall use reclaimed material without prior written approval from the buyer.

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**REVISION HISTORY**

Rev AA	Original Issue	06/05/98
Rev AB	Revised to correct WI number and revise C of C paragraph	08/28/98
Rev AC	Revised Chemical & Physical Analyses to add words “when attainable”	09/26/00
Rev AD	Revised to change Purchasing Mgr. from Kurt Hayes to Lynda Nance	02/26/02
Rev AE	Added Product Development clause and reference to AS 9100	03/18/02
Rev AF	Revised entire document to replace “subcontractor” with “supplier” IAW recommendation from registrar	11/20/02
Rev AG	Revised Inspection & Acceptance Section to add last two sentences “First article shipments require the first.....”	03/05/03
Rev AH	Revised to change company name from Goodrich Avionics Systems, Inc. to L-3 Communications Avionics Systems, Inc., Revised to reflect terms Seller and Buyer consistent throughout the entire procedure	07/24/03
Rev AI	Revised to add Required Government Clauses	10/15/03
Rev AJ	Revised to remove Product Development Clause – not a requirement of new ISO standard	11/11/03
Rev AK	Changed “Notification of Design Changes” to “Notification of Changes”. Added requirement for chemical and physical analysis for items with >.25% carbon Added requirement for record retention (5 years). Added separate paragraph detailing FAI requirements.	11/10/04
Rev AL	Revised in its entirety to add all of L-3 Corporate T&C’s and applicable to Avionics Systems.	04/04/05
Rev AM	Revised Inspection and Testing paragraph “ Buyer and Buyer’s representatives shall have the right of access, on a non-interference basis, to any area of Seller’s or Seller’s supply chain sub-tier premises where any part of the work is being performed.. Seller shall flow this requirement down to its sub-tier supply chain suppliers as a condition of this contract” IAW L-3 corporate terms and conditions	03/29/06
Rev AN	Revised Compliance with Law paragraph to add sentence “Black box” suppliers (Production Approval Holders) who operate an FAA Certified Repair Station must maintain an FAA approved Drug and Alcohol Misuse Prevention Program in accordance with 14 CFR Part 121.	09/05/06
Rev AO	Revised Certificate of Compliance to add “All Brokers shall send manufacturers certifications when available.	09/17/07
Rev AP	Revised to add “Counterfeit Parts”	01/08/09
Rev AQ	Revised to add “FAR 52.219-9 provides for the issuance of penalties and remedies for those businesses that misrepresent their business status as a small business for the purpose of obtaining a contract “under the Compliance With Law section.	05/18/09
Rev AR	Revise to change the “ETHICAL STANDARDS OF CONDUCT” statement to “CODE OF ETHICS AND BUSINESS CONDUCT” statement on Page 2. Updated Approval Page.	04/28/11
Rev AS	Added FOD program flow down requirement and compliance with AS9102 for First Article Inspections and added a FAR reference under the “REQUIRED GOVERNMENT CLAUSES:”	07/29/11
Rev AT	Revised CERTIFICATION OF COMPLIANCE, CHEMICAL AND PHYSICAL ANALYSES & QUALITY ASSURANCE from 5 years to 10 years retention. CODE OF ETHICS AND BUSINESS CONDUCT corrected link. REQUIRED GOVERNMENT CLAUSES: Added Specialty Metals DFARS 252.225-7009 and deleted 252.225-7014 (7009 takes place of 7014). Added FAR 52.203-16 Preventing Personal Conflicts of Interest.	11/08/11
Rev AU	Complete rewrite to include more specific flow downs and point to include link to L-3 Communications GENERAL TERMS AND CONDITIONS For Supply & Services Subcontracts & FAR and DFAR Supplements	07/16/13

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**REVISION HISTORY**

Rev AV	Section 2.0: Removed revision from the terms and conditions and added statement to use the most current version.	09/24/13
-----	Two year review. No changes per CG.	08/15/16
Rev AW	Section 2.0: Revised statement to indicate what revision of terms and conditions apply. Changed APS-AS to APD-GRR throughout document. Added language to 4.35 to address new requirements from AS9100D.	04/18/17
Rev AY	Section 2.0: Add reference to document 905-L0140-07, Purchasing Specification “W” Quality Assurance Requirements. Added reference to AS9146 in paragraph 4.16.2.	10/02/18
Rev AZ	Section 4.29: Revise to make Certificate of Conformance required with each shipment for all parts, special processes and materials. Removed L. Spross, added W. Niesing to Approver Page as Director, Quality.	08/08/19
Rev BA	Two year review. Updated link to T's and C's and document numbers and titles.	01/05/22
Rev BB	Updated links in Section 2.0 due to the Root Forest migration.	02/15/22
Rev BC	Revised Section 4.24, “First Article Inspection,” to include the following verbiage: “First Article Inspection (FAI) shall be performed by Seller in accordance with the requirements of AS9102.” Updated company logo; corrected company name in document title.	08/30/22
Rev BD	Revised Section 4.21, “Buyer Quality Control Representative,” to add the following verbiage: “The Buyer’s Quality Control representative may bypass receiving inspection when taking receipt of customer provided material.”	06/10/24
Rev BE	Revised Section 4.23.3, “DOT/FAA Drug and Alcohol Testing,” to add “CFR” after Title 49 and Title 14; changed Part 121 to 120 and removed appendix I and J. Added the following statement to 4.23.3: “Seller’s facility is subject to surveillance by authorized representatives of the Department of Transportation or the Federal Aviation Administration.”	07/11/24

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**APPROVALS**

Signature on file in SignIt

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Wolfgang Niesing  
Director, Quality

Signature on file in SignIt

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James Cinglie  
Director, Supplier Chain Management

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