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Supplier Quality System Requirements for Maintenance Service Organizations

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INTRODUCTION

This document defines the quality system requirements for suppliers that provide maintenance services.

REVISION SUMMARY

Complete rewrite.

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1.0 SCOPE & APPLICABILITY

- 1.1 Supplier quality requirements defined in this document are agreed upon by and applicable to the following RTX Aerospace Business Entities (also known as RTX Member Companies):

RTX Member Company	Abbreviation
Collins Aerospace	Collins
Pratt & Whitney	P&W*
Pratt & Whitney Canada	P&WC*

*When a supplier provides product or services to PW or PWC, together they are referred to as "P&W".

- 1.2 The requirements of this document apply to Suppliers who furnish product, material, processes, or services (as a maintenance provider) to any of the above RTX Member companies as a contractual requirement regardless of supplier's industry, regulatory accreditation, or certification status, and each supplier shall be responsible for ensuring that all members of its supply chain comply with the requirements set forth herein.

2.0 INFORMATIVE REFERENCES

- 2.1 It is the responsibility of the Supplier to obtain the latest revisions of the applicable documents specified by Table 1, of this ASQR-02 as relevant to the supplier's program (i.e., Military or Commercial). These documents may include, but are not limited to, the following:

Table 1: Applicable Documents

Document	Title
SAE AS9100 (IA9100)	Quality Management Systems –Requirements for Aviation, Space and Defense Organizations
SAE AS9104 (IA9104)	Requirements for Aviation, Space, and Defense Quality Management System Certification Programs
SAE AS9110 (IA9110)	Quality Management Systems – Requirements for Aviation Maintenance Organizations
SAE AS9120 (IA9120)	Quality Management Systems – Requirements for Aviation, Space and Defense Distributors
SAE AS9146 (IA9146)	Foreign Object Damage/Debris Prevention
SAE AS9102 (IA9102)	First Article Inspection Requirements
SAE AS13000	Problem Solving Requirements for Suppliers

SAE AS13001	Delegated Product Release Verification Training Requirements
PRI AC7004	NADCAP Quality Management System (Specialized Processes-only suppliers)
FAA AC 00-56B	Voluntary Industry Distributor Accreditation Program with Change 1 (distributors)
ASA-100	Aviation Suppliers Association Quality System Standard (distributors)
PWC-ASQR-002	Aftermarket Supplier Quality Requirements for P&WC Owned Service Facilities.
CE-AO 7.8.4.1 S	Aftermarket Supplier Quality Requirements for P&W
CE-AO 7.8.4.2 S	GTF DAT and DSP Quality Requirements for P&W
PWSO 6.2.1 L3	Pratt & Whitney Sustainment Operations (PWSO) Supplier Quality Requirements
PWSO 5.1.2 L3	Supplier Self Release and Source Inspection Program
PWSO 7.4.1 L3	First Article Inspection (FAI)

3.0 ACRONYMS AND DEFINITIONS

Acronyms: The following defined acronyms are used throughout this document.

Acronym	Definition
CAA	Civil Aviation Authority
CB	Certifying Body
QMS	Quality Management System
SAE	Society of Automotive Engineers
CoC	Certificate of Conformance
ARC	Airworthiness Repair Certificate
ADAMPP	Anti-Drug and Alcohol Misuse Prevention Program
PWSO	Pratt & Whitney Sustainment Operations
DQR	Designated Quality Representative

Definitions:

Certificated Supplier / Sub-Contractor: A supplier that holds a valid and current certificate from an appropriate Civil Aviation Authority (CAA) required for the part or article subcontracted for maintenance service and is appropriately rated. This type of supplier certifies airworthiness under its own approval, in accordance with applicable CAA regulations.

Civil Aviation Authority: This is the governing body of each respective country, or union of countries, which establishes the rules, laws, guidance, and other requirements of all things related to commercial aviation, including maintenance and overhaul of commercial aircraft registered in the respective countries.

Fabrication: The manufacture of detail parts for a Maintenance Service Provider to be used only by that Maintenance Service Provider for customer engines or aircraft parts maintained by that entity if allowed by the technical data or contract. This applies only when the design and process for making the part are controlled by that Maintenance Service Provider. When a supplier makes the fabricated parts, a Certificate of Conformance for fabricated parts shall be retained. The Maintenance Service Provider may use an RTX OEM ASQR-01 supplier for fabrication.

Note: Under U.S. law, fabrication suppliers are exempt from ADAMPP.

Industry Accreditation: Industry Accreditation means holding a Quality Management System registration from a recognized certifying body. Standards and certifying bodies may include:

- Americas – AAQG (SAE AS91xx, or IA91xx),
- Europe – EAQG (EN/AS91xx),
- Asia/Pacific – APAQG (JISQ 91xx),
- NADCAP,
- etc.

Accredited Supplier: An accredited Supplier holds a Quality Management System registration by a recognized certifying body. By default, this would be a qualification to SAE AS 91xx standards or its international equivalents. RTX recognizes that there are other equivalent versions of these standards which are acceptable.

In some cases, for specialized services, other standards may also be acceptable. One such example may be NADCAP AC7004 for use by suppliers specializing in special process services.

Maintenance Services: Work performed per approved or accepted technical data as required by the customer or regulatory requirements and will be inspected to determine the airworthiness of the product.

Non-Certificated Supplier / Contractor: A supplier that either holds no certificates from a Civil Aviation Administration (CAA) or does not hold one from the CAA needed for the part or article or is not appropriately rated. A Non-Certificated Supplier / Contractor must follow the Quality System requirements flowed to it from the RTX Member Company. Non-Certificated Suppliers / Contractors are required to issue Certificate of Conformance (COC) for all military contracts.

Use of a Non-Certificated Supplier / Contractor for commercial repairs must comply with the requirements as defined by the cognizant CAA and approved as part of their repair station manual. A non-certificated supplier may not issue an ARC for any work performed on a commercial engines contract.

The contracting entity must maintain full control over the maintenance provided. The contracting entity intends to certify the airworthiness of the work performed by the contractor under their own approval.

Professional Services: A professional service is when a repair station engages with a supplier to among other things, provide expert opinions, recommendations, report analysis, lab activities, etc. A supplier performing any kind of maintenance service cannot be considered a Professional Service. No certificate of any kind should be expected for the work performed.

4.0 GENERAL REQUIREMENTS

4.1 Quality System

Each RTX Member Company reserves the right to flow down specific requirements to satisfy customer and/or business requirements that will apply to that RTX Member Company in addition to the requirements defined herein.

Suppliers and all members of their supply chain shall understand and comply with the applicable RTX Member Company's specific Quality Management System (QMS) requirements. These may be flown down in, but are not limited to, specific procedures, contracts or purchase order requirements.

When a supplier is working under this procedure by contract or purchase order, the supplier is required to follow any associated RTX Member Company's procedure(s) and to flow-down the requirements defined herein to their supplier(s).

4.2 Industry Accreditation

Each RTX Member company shall define what industry accreditation is needed in specific procedures, contracts or purchase order documents.

Organizations that require certification to AS9100 / AS9110 / AS9120 or IA9100 / IA9110 / IA9120 shall be certified by a suitable accredited Certification Body (CB) that participates in the IAQG Certification Scheme (Industry Controlled Other Party - ICOP). A list of accredited CBs participating in the IAQG Certification Scheme can be found within the Online Aerospace Supplier Information System (OASIS).

4.3 **Access Rights**

Each Supplier shall allow RTX Member Company representative(s) access to their facility, when requested. This access may include the contracting entity personnel, RTX Member representatives, CAA personnel, etc.

4.4 **Certificated Suppliers / Sub-Contractors**

Certificated Suppliers / Sub-Contractors shall hold the CAA Approvals from the Civil Aviation regulatory bodies required by contract or purchase order. These approvals shall have the appropriate ratings and capabilities defined.

Certificated Suppliers / Sub-Contractors shall comply with all Civil Aviation Authorities requirements including airworthiness standards, maintenance, preventive maintenance, overhaul requirements, and Airworthiness Directives.

All work performed by a Certificated Suppliers / Sub-Contractors shall be accompanied by the airworthiness certificate required by PO or contract.

4.5 **Non-Certificated Supplies / Contractors**

Non-Certificated Suppliers / Contractors performing military repairs shall be recognized by an accreditation body per SAE AS9104 or IA9104.

Non-Certificated Suppliers / Contractors shall comply with contracting organization's quality system requirements flowed down to them.

All work performed by the Non-Certificated Suppliers / Contractors shall be accompanied by a Certificate of Conformance.

4.6 **Notification of Changes**

Each supplier has the responsibility to notify the RTX Member Company of changes to their facilities, approvals, accreditation(s) or managerial staff within 2 Business Days.

4.7 **Distributors and Brokers**

The RTX Member Company shall define the specific requirements for distributors and brokers in their flow down requirements.

4.8 **Foreign Object Debris**

Supplier shall comply with the requirements of AS9146 or IA9146 or equivalent for Foreign Object Damage/Debris Prevention.

4.9 **Safety Management System**

Every supplier shall have a Safety Management System compliant with regulatory or RTX member company's flow-down requirements.

5.0 **MILITARY CONTRACTS**

5.1 **General Military Requirements**

General requirements specified in Section 4 of this document shall be adhered to when work performing work for military programs.

Pratt & Whitney Sustainment Operation (PWSO) requirements will be flowed down within the Purchase Orders (PO) and PWSO 6.2.1 L3 Titled "Supplier Requirements"

5.2 **First Article Inspection (FAI)**

Suppliers must perform a First Article Inspection (FAI) for each repair or maintenance operation in accordance with PWSO 7.4.1 L3.

5.3 **Supplier Self Release / Destinated Quality Representative (DQR)**

The supplier must obtain AS13001 certifications prior to applying and receiving approval for participation in the PWSO Supplier Self Release / DQR program as outlined in PWSO 5.2.1 L3.

Appendix A

Aftermarket Supplier Quality Requirements for P&WC Owned Service Facilities

1. Scope and applicability

This Section outlines the unique quality requirements which are in addition to the latest revision of AS/EN/JISQ 9110 & other sections of ASQR-02.

The requirements of this section apply to all suppliers that furnish product, processes or product-related services to members of **Pratt & Whitney Canada Owned Service Facilities** as a contractual requirement regardless of supplier's industry, regulatory accreditation, or certification status.

Each supplier shall be responsible for ensuring that all members of its supply chain **comply** with the requirements in this section.

2. Terms and Definitions

Pratt & Whitney Canada Owned Service Facilities (P&WC OSF): Pratt & Whitney Canada Owned facilities within the P&WC's Global Service Network, such as but not limit to P&WC St-Hubert Service Center, Pratt & Whitney Engine Service, Pratt & Whitney Canada Component Repair, including Pratt & Whitney Component Solutions.

Supplier: Organizations that provide product or service directly to the member of Pratt & Whitney Canada Owned Service Facilities (P&WC OSF), including but not limited to part distributor and special process provider.

Part Distributor: Organizations carrying the purchase, storage, splitting, and sale of products and not transforming, assembling, or otherwise modifying purchased product.

Special Process provider: Supplier who provides the process where the resulting output cannot be verified by subsequent monitoring or measurement, such as welding.

Sub-tier supplier: Organizations that provide product or service indirectly (at any tier level) to the member of Pratt & Whitney Canada Owned Service Facilities (P&WC OSF), including but not limited to part distributor and special process provider.

Type of Approval: The type of business that the supplier is approved to perform by the applicable regulatory.

Approved Supplier: Supplier that is approved to provide product or service (within their business type) by the member of Pratt & Whitney Canada Owned Service Facilities (P&WC OSF).

Supplier type: The type of business that the supplier is approved to perform by the member of Pratt & Whitney Canada Owned Service Facilities (P&WC OSF). Including:

- Certificated AMO / Repair Station
- Accessory & Component Overhaul and or Repair
- Special Process Provider
- Engine Overhaul and or Repair
- Part Supplier (New or Used)

- Engine Test Facility
- Engine teardown

Non-conformance: A condition to product or material that does not conform to the specified Purchase Order requirements from any member of P&WC OSF.

3. Requirements

3.1. Quality Management System (QMS) requirements

3.1.1. Policies and Directives

- All suppliers shall comply with the requirements of ASQR-02 (including this section).
- P&WC reserves the right to implement third-party source inspection, at the organization's expense.
- For any non-conformance resulting from a Quality Management System (QMS) audit, the supplier shall respond with containment, root cause and corrective/preventative actions.
- Suppliers shall inform the applicable members of P&WC OSF of any change (new approval / approval suspended or removed) of their certification from the applicable Certification Body within 15 days.

3.1.2. Compliance

The suppliers shall have a quality management system (QMS) compliant with or certified to different standards according to the type of the service provided/supplier type:

- For suppliers as Distributor: certified to AS/EN/JISQ 9100 or AS/EN/JISQ 9110 or AS/EN/JISQ 9120 or ISO9001 by a certification body recognized by P&WC.
- For supplier as Special Process provider: certified to Nadcap AC7004 or AS/EN/JISQ 9100 standards by a certification body recognized by P&WC.
- For all other supplier type: compliant with AS/EN/JISQ 9110 standard.

3.1.3. Performance review

The supplier shall establish applicable Key Performance Indicators (KPIs) of their Quality Management System (QMS) and maintain a periodical review of those KPIs to assure the effectiveness of their QMS, the reviews record and results of these KPIs shall be available upon request by P&WC.

3.2. Regulatory requirements

3.2.1. Policies and Directives

- Suppliers shall comply to the requirements of applicable Civil Aviation Authority (CAA), such as Transport Canada Civil Aviation (TCCA) or Federal Aviation Administration (FAA) or equivalent.

- B. Suppliers shall inform the applicable members of P&WC OSF of any change (including but not limited to new approval or changes of scope / approval suspended or removed) of their certification from any applicable Civil Aviation Authorities within 15 days.
- C. Suppliers shall make sure the proof of certification is available at any time upon the requests of members of P&WC OSF.

3.2.2. Compliance

- A. All suppliers must be accredited by the applicable Civil Aviation Authority for the scope of the product or service (Type of Approval) that they provide to members of P&WC OSF, the airworthiness certificate required by PO or Contract shall be accompanied by all works performed.
- B. Exception: if the supplier is not accredited by the applicable Civil Aviation Authority, a specific agreement must be signed/made between members of P&WC OSF and the supplier, stating that the supplier will conduct the work under the P&WC OSF member's supervision.

In this case, the work performed by the supplier shall be accompanied by a Certificate of Conformance.

3.3. Approved Supplier

To provide products and services to P&WC, the supplier must be approved by the applicable member of P&WC OSF.

- A. The members of P&WC OSF shall assess the supplier's general capability and grant the supplier as an approved supplier per their supplier type.
- B. The approved supplier shall only provide products or services to P&WC within the scope of their supplier type.
- C. For supplier with their QMS certified to AS/EN/JISQ 9110 or AS/EN/JISQ 9100 (AS/EN/JISQ 9120 for Distributor) or equivalent by a Certification Body, the supplier needs to provide the proof of certification and notified the applicable members of P&WC OSF of any changes to the certification within 15 days of the change.
- D. For supplier with their QMS compliant to AS/EN/JISQ 9110 or AS/EN/JISQ 9100 or AS/EN/JISQ 9120 or equivalent but not certified by a Certification Body, the supplier shall provide a self-evaluation of the QMS to the applicable members of P&WC OSF yearly and upon request until they are certified by a Certification Body.
- E. Additionally, the members of P&WC OSF reserve the right to perform audits of supplier's QMS anytime at supplier's charge.
- F. The summary of industrial accreditation and regulatory requirements for the approved suppliers are listed in Table 1 as below.

Supplier type	Require applicable Civil Aviation Authority Certification	Applicable Industrial Standard
Certificated AMO / Repair Station	YES	AS9100 or AS9110
Accessory & Component Overhaul and or Repair	YES	AS9100 or AS9110
Special Process Provider	YES	AS9110 or Nadcap AC7004
Engine Overhaul and or Repair	YES	AS9100 or AS9110
Part Supplier (New or Used)	YES	AS9100 or AS9110
Engine Test Facility	YES	AS9100 or AS9110
Engine teardown	YES	AS9100 or AS9110
Distributor	NO*	AS9100 or AS9110 or AS9120

Table 1 – Industrial and Regulatory Certification Requirement summary to approved supplier

** Note 1: Unless the applicable Civil Aviation Authority has different requirements, in that case, the requirement from the Civil Aviation Authority shall be complied to.*

3.4. New supplier introduction

All new suppliers shall comply with the requirements mentioned in this section when they are been granted as Approved supplier by a member of P&WC OSF.

An onsite audit by P&WC (or by a third party designated by P&WC) shall be mandatory for any new approved supplier unless the new supplier provides the proof of holding a certification on applicable industrial standard shown in Table 1 by a P&WC recognized certification body.

3.5. Control of non-conformance

3.5.1. Requirements

- A. The suppliers shall have a non-conformance control process which compliant with the requirements of AS9110.
- B. When a supplier confirms or suspects that an unauthorized non-conforming product has been delivered to any member of P&WC OSF,

the supplier shall notify the applicable member immediately (not to exceed 24 hours).

The notification shall include the part number, quantity, SN (Serial Number)/UI (Unique Identifier) as applicable, date of shipment, detailed non-conformance characterization (deviation from which product definition requirement), and any other pertinent information necessary to locate and contain the suspected products.

- C. When requested by P&WC, the supplier shall, in addition, provide preliminary engineering assessments and field recommendations.

3.5.2. Containment, root cause and corrective / preventive action

The supplier shall establish the necessary procedures and controls to ensure that comprehensive containment, root cause and corrective / preventative action activities are in place to prevent / control non-conforming product.

- A. Containment: When non-conforming product is found at the supplier's facility or at a sub-tier supplier, the supplier shall ensure the immediate containment of all suspect material and the quarantine of all non-conforming products.
- B. Root cause: The supplier shall (or upon request by a member of P&WC OSF) provide a comprehensive root cause analysis and corrective / preventative action plan within ten (10) calendar days from the discovery of the non-conformity or the reception of the request.
- C. Corrective / Preventative Action: The corrective / preventative actions outlined in the comprehensive root cause analysis and corrective / preventative action plan shall be fully implemented within thirty (30) calendar days from the discovery of the non-conformity or the reception of the request.

3.6. Documentations and records

- A. The suppliers shall retain documented information and records related to the parts and services provided to members of P&WC OSF. The retention periods shall be no less than 5 years or the applicable Civil Aviation Authority requirement, whichever is greatest.
- B. The suppliers shall retain documented information and records related to audits on the QMS. The retention periods shall be no less than 5 years or the applicable Civil Aviation Authority requirement, whichever is greatest.

3.7. Communication

- A. The suppliers shall inform the applicable members of P&WC OSF regarding changes of certification status within the required timeframe (refer to 3.1.1. D)

- B. The supplier shall inform the applicable members of P&WC OSF regarding related non-conformance within the required timeframe (refer to 3.5.)
 - C. The supplier is responsible for communicating with the applicable members of P&WC OSF about any other event or situation that may have an influence on the product or service provided by the suppliers or their sub-tier suppliers.
- 3.8. Requirements flow down
- The suppliers shall flow down the requirements mentioned in this section to their sub-tier suppliers and ensure compliance.
- The suppliers shall also flow down to their sub-tier suppliers the requirements of the applicable civil aviation authority that they (the suppliers) process a certificate and assure compliance.
- 3.9. Foreign Object Damage (FOD) Prevention
- All suppliers shall have a valid FOD Prevention Program compliant with the requirements of AS9146 standard or equivalent.

End of Document

