United Rotorcraft®

Supplier Paperwork Management Training

2025

Revision -

TOPICS OF DISCUSSION

1. **Common Paperwork Issues**
    1. Common GENERAL Paperwork Findings
    2. Common FAI Paperwork Findings
2. **Guidance in Preventing Paperwork Issues**
3. **Why United Rotorcraft performs Receiving Inspections?**
4. **Why companies pursue AS9100 and ISO 9001?**
5. **Decertification of AS9100 and ISO 9001**
6. **Where to find the AS9100, AS9102, and ISO 9001 Standards?**
7. **United Rotorcraft Supplier Quality Requirements**
8. **SCRR | Supplier Concern Resolution Request**

BUSINESS CASE

Paperwork Management Training - created for supplier education and standardization.

GOAL

Reduce repetitive supplier errors in documentation and form submission.

Common General Paperwork Findings

FINDING	REQUIREMENT
Certificate of Conformance (CoC) is **missing** in the received part shipment.	**(1)** United Rotorcraft (UR) Supplier Quality Requirements (SQR) 400-QMS-QAS-2 Rev L code 1.0 requires a CoC. **(2)** AS9100 and ISO 9001 section 8.4 (Control of Externally Provided Processes, Products, and Services), 8.6 (Release of Products and Services), 8.4.2 (Type and Extent of Control) and 8.4.3 (Information for External Providers).
Certificate of Conformance (CoC) is **missing the Part Number**	**(1)** UR SQR code 1.0 requires the Part Number in the CoC. **(2)** AS9100 and ISO 9001 section 8.5.2 (Identification & Traceability) and 8.6 (Release of Products and Services).
Certificate of Conformance (CoC) is **missing the Drawing Revision Level**	**(1)** UR SQR code 1.0 requires the Drawing Revision Level in the CoC. **(2)** AS9100 and ISO 9001 section 8.5.2 (Identification & Traceability) and 8.6 (Release of Products and Services).
Certificate of Conformance (CoC) has the **incorrect Drawing Revision Level**	
Certificate of Conformance (CoC) is **missing the ECO Number(s)**	**(1)** UR SQR code 1.0 requires applicable ECO number(s) in the CoC. **(2)** AS9100 and ISO 9001 section 8.3.6 (Design and Development Changes) and 8.6 (Release of Products and Services).
Certificate of Conformance (CoC) is **missing the PO** (Purchase Order) information.	**(1)** UR SQR code 1.0 and 2.0 requires PO information in the CoC. **(2)** AS9100 and ISO 9001 section 8.4.3 (Information for External Providers) and 8.6 (Release of Products and Services).
Certificate of Conformance (CoC) has a **typo in PO** (Purchase Order) information.	
Certificate of Conformance (CoC) has a **wrong quantity** of parts information.	**(1)** UR SQR code 1.0 and 2.0 requires Quantity of Parts in the CoC. **(2)** AS9100 and ISO 9001 section 8.6 (Release of Products and Services).
Certificate of Conformance (CoC) has **wrong Expiration Date** information based on the received part label such as Date of Manufacturer (DOM) and/or Expiration Date (DOE).	**(1)** UR SQR code 23 requires Expiration Date in the CoC. **(2)** AS9100 and ISO 9001 section 8.5.4 (Preservation) and 8.5.2 (Traceability).
Certificate of Conformance (CoC) is **missing traceability** information.	**(1)** UR SQR code 6.0 requires traceability of parts. **Traceability is** a Lot Number, Work Order, Batch Lot Number, Job ID Number or PO Number. **(2)** AS9100 and ISO 9001 section 8.5.2 (Identification and Traceability).
Raw Material Certification(s) is **missing** in the received part shipment.	**(1)** UR SQR code 4.0 requires Raw Material Certification(s). **(2)** AS9100 and ISO 9001 section 8.4.3 (Information for External Providers), 8.6 (Release of Products and Services), 8.1 (Operational Planning and Control), 8.1.4 Prevention of Counterfeit Parts), and 7.1.5 (Monitoring and Measuring Resources).
Raw Material Certification(s) is **not addressing each part** in the received part shipment.	
Special Process Certification(s) is **missing** to address each applicable **note(s) or BOM** from part's drawing. Examples: Finish Part Process certification, Burn-in Test Report, etc.	**(1)** UR SQR code 1.0 requires Special Process Certification(s). **(2)** AS9100 and ISO 9001 section 8.5.1 (Control of Production and Service Provision), 8.5.1.2 (Validation and Control of Special Processes), 8.4.3 (Information for External Providers), 8.6 (Release of Products and Services), and 7.1.5 (Monitoring and Measuring Resources)
Special Process Certification(s) **has typo(s)**.	
ALL suppliers and **ALL sub-tier suppliers are not compliant** with requirements before shipping to United Rotorcraft	**(1)** UR SQR code 3.0 requires supplier to be fully accountable. **(2)** AS9100 and ISO 9001 section 8.4.1 (Control of Externally Provided Processes, Products and Services), 8.4.2 (Type and Extent of Control), 8.4.3 (Information for External Providers), 8.5.1 (Control of Production and Service Provision), 8.7 (Control of Nonconforming Outputs), and 10.2 (Nonconformity and Corrective Action)

Common FAI Paperwork Findings

FINDING	REQUIREMENT
Missing FAI documentation in the received part shipment.	**(1)** UR Supplier Quality Requirements 400-QMS-QAS-2 Rev L code 12.0 states when an FAI shall be performed. **(2)** SAE International AS9102 Standard Rev C, page 11 out of 22, section 4.6 (Partial or Re-Accomplishment of FAI), letter F states when an organization shall perform an FAI. **(3)** PO (Purchase Order) may include the following statement: "The above awarded part(s) require a First Article Inspection (FAI) to be performed on one (1) piece produced under this PO". **(4)** AS9100 and ISO 9001, section 8.5.1.3 (Production Process Verification) requires verification of conformance.
Missing information on Field 14 (reason for Full or Partial FAI)	AS9102, Form 1/3, page 17/22, states the following required information for Full or Partial FAI on Field 14: "Reason for Full/Partial FAI: Describe the reason (e.g., new part number, lapse in production; changes in design, process, or manufacturing location) for the full or partial FAI."
Missing information on Field 22 (FAIR Approval Signature)	AS9102, Form 1/3, page 17/22, requires signature for Field 22.
Same signature on field 22 from Field 20 (FAIR Approval Signature)	AS9102, Form 1/3, page 17/22, states that signature should not be the same individual identified in Field 20.
Missing information on Field 23 (Date of Signature)	AS9102, Form 1/3, page 17/22, requires date information for Field 23.
Missing ECO information on Field 8 (Additional Changes)	AS9102, Form 1/3, page 16/22, conditionally requires reference numbers of any changes on Field 8.
Missing information on Field 4 (FAIR Identifier)	AS9102, Form 1/3, page 16/22, requires an identifier for the First Article Inspection Report (FAIR) on Field 4.
Missing Ballooned Drawing documentation in the FAI Documentation Package	**(1)** UR Supplier Quality Requirements 400-QMS-QAS-2 Rev L code 12.0 requires ballooned drawing. **(2)** AS9102 Standard, section 4 (Requirements), the organization shall perform multiple activities, including bubbled or ballooned documents(s). Section 4.4.G (Evaluation Activities) states to have inspection results traceable to each unique identifier such as a ballooned document. Form 3/3 of FAI documentation, requires Field 5 (Characteristic Number) a unique assigned number for each design characteristic and ballooned design characteristic shall clearly be traceable to Field 5.
Missing Characteristic Number (Char. No.) on field 5 on Form 3 in the FAI Documentation Package	AS9102, Form 3/3, page 21/22, requires Field 5 with a unique assigned number for each design characteristic.
Missing Form 2 and/or Form 3 FAI documentation in the received part shipment	AS9102, Full FAI always requires all 3 Forms based on section 4.2 (Part Requirements) and 4.7.1-4.7.3 (Documentation). Delta FAI always requires Form 1, and Form 2 & 3 are required only if changes impact materials, special process, or functional test, based on section 4.6 and Appendix B (Form 2 and Form 3) requirements.

Guidance in preventing paperwork findings

1. Create a Bag & Tag or Shipment CHECKLIST PROCESS for your Shipment Team and provide TRAINING to the team of such checklist process.
2. Such Checklist Process could be concentrated to United Rotorcraft shipments (preferred) or general shipment (all customers) as long it guarantees the shipment to United Rotorcraft meets the requirements from the 'Common General Paperwork Issues' and 'Common FAI Paperwork Issues' slides to avoid delays in production and payment transaction on-hold for SHIPPING such non-conformance.
    1. **AVOID Payment Transaction on-hold**: Supplier will not receive payment transaction until required documentation is received to update shipment from a non-conformance to a conformance status to be allowed to be inducted to inventory at United Rotorcraft. Failure to receive documentation and/or communication in a timely manner, parts are at risk to be rejected as non-conformance and RTV (Return To Vendor).

How is AS9100 and ISO 9001 related to a Checklist Process or Verification of Compliance Process before shipment?

1. Section 8.6 (Release of Products and Services). = *Final verification before shipment*
    - Requires the organization to implement **planned arrangements, at appropriate stages**, to verify that product and service requirements have been met.
    - **Release to the customer shall not proceed** until planned arrangements are satisfactorily completed, unless otherwise approved.
    - The organization **must retain documented information** of the release, which includes:
        - ✓ **Evidence** of conformity to acceptance criteria.
2. Section 8.2.2 (Review of Requirements for Products and Services) = *Ensuring customer requirements are understood and planned.*
    - Requires the organization to ensure it can meet customer requirements **before committing to supply**.
    - **Includes a review process to confirm** product, regulatory, and delivery requirements are understood and can be achieved.
    - This flows down into internal checklists/forms to verify compliance before release.
3. Section 8.1 (Operational Planning and Control) = *Ensuring processes are controlled to meet those requirements.*
    - Requires the organization to plan, implement, and control processes **to meet requirements** for product and service provision.
    - Checklists are one of the practical methods for demonstrating planning and control at critical points (including before shipment).

Why United Rotorcraft performs Receiving Inspections?

Why United Rotorcraft Receiving Inspection Team needs to perform inspections and rejection of non-conformances of the received shipment?

- ✓ United Rotorcraft is a certified AS9100 and ISO 9001 company.
- ✓ AS9100 and ISO 9001 requires a company to stablish controls to **verify externally provided products and services** before use or release.
  1. **8.4 – Control of Externally Provided Processes, Products, and Services**
     - ✓ **8.4.1 General**:
       - ➢ The organization shall ensure that externally provided processes, products, and services conform to requirements.
     - ✓ **8.4.2 Type and Extent of Control**:
       - ➢ The organization must determine verification activities to ensure externally provided products and services meet requirements.
     - ✓ **8.4.2 Note 2** explicitly lists examples of verification activities, including:
       - ➢ Review of objective evidence of conformity (e.g., **Certificate of Conformity**, test reports).
       - ➢ **Inspection of products or verification of services upon receipt**.
       - ➢ Audit at the supplier's premises.
  2. **8.6 – Release of Products and Services**
     - ✓ Before anything goes to the customer, the organization must ensure all **planned arrangements have been met**.
     - ✓ If purchased items were not properly verified at receiving, the organization could not provide evidence of conformity at release.
     - ✓ Products cannot be released without evidence of conformity, which starts at incoming verification.
  3. **8.5.2 – Identification and Traceability**
     - ✓ Requires the company to maintain identification and traceability, which is often initiated during receiving inspection (lot number, batch, job traveler, etc.)
- ✓ **Receiving Inspection is not optional** — it is a required verification activity under AS9100 Clause 8.4.2 (with traceability and release linked to 8.5.2 and 8.6).

Why companies pursue AS9100 and ISO 9001?

Customer and Market Requirements

- ✓ **ISO 9001** is the baseline global standard for quality management across industries.
- ✓ **AS9100** is the aerospace-specific extension of ISO 9001 — adding requirements for product safety, risk management, traceability, and regulatory control.
- ✓ Aerospace OEMs (Boeing, Airbus, Lockheed Martin, Raytheon, etc.) require AS9100 certification as a condition to become or remain an approved supplier.
- ✓ Benefits:
  - ➢ Without AS9100 certification, **a company cannot compete** in aerospace, defense, or space markets.
  - ➢ Without ISO 9001, many customers in manufacturing, healthcare, or automotive **will not do business with you**.

Customer Confidence and Credibility

- ✓ Increases customer satisfaction, strengthens reputation, and **differentiates the company from uncertified competitors**.

Regulatory and Legal Compliance

- ✓ **Protects the company** against regulatory or legal noncompliance and ensures readiness for audits or investigations.

Business Growth and Global Recognition

- ✓ Increases visibility, enables global partnerships, and **opens doors to high-value contracts**.

Other

- ✓ Operational Consistency and Efficiency
- ✓ Continuous Improvement and Risk Management
- ✓ Financial Benefits

Decertification of AS9100 and ISO 9001

Rules from IAQG and Certification Bodies:

- ✓ Certification bodies operate under the IAQG OASIS database rules.
  - ✓ IAQG = International Aerospace Quality Group
  - ✓ OASIS = Online Aerospace Supplier Information Systems
- ✓ If systemic noncompliance or repeated failures occur, the CB is obligated to withdraw your AS9100 and/or ISO 9001 certification and record it in OASIS.
- ✓ This affects your approval status with OEMs (United Rotorcraft, Boeing, Airbus, RTX, Collins Aerospace, Lockheed, etc.), since they all monitor OASIS.
- ✓ To prevent escalation, organizations must:
  - ✓ Implement a robust Corrective Action / RCCA system (Clause 10.2).
  - ✓ Conduct effective Management Reviews (Clause 9.3).
  - ✓ Ensure timely closure of NCs before certification body deadlines.

Where to find the AS9100, AS9102, and ISO 9001 Standards?

AS9102 FAI First Article Inspection Requirements Standard:

✓ SAE International. Link: AS9102C: Aerospace Series - First Article Inspection Requirements - SAE International

AS9100 Quality Management Systems – Requirements for Aviation, Space, and Defense Organization Standard:

✓ SAE International. Link: AS9100D: Quality Management Systems - Requirements for Aviation, Space, and Defense Organizations - SAE International

ISO 9001 Quality Management Systems Requirements Standard:

✓ Accuris. Link: ISO 9001:2015

United Rotorcraft Supplier Quality Requirements

The traceability matrix below maps UR Supplier Quality Requirement codes to relevant clauses in AS9100 and ISO 9001. This helps ensure that supplier requirements align with international aerospace quality management standards.

UR CODE	DESCRIPTION	RELEVANT AS9100 AND ISO 9001 CLAUSES
1.0	Certificate of Conformance Required	7.5.3 (Control of Documented Information), 8.4.2 (Type and Extent of Control), 8.5.2 (Identification and Traceability), 8.5.6 (Control of Changes), 8.6 (Release of Products and Services)
2.0	OEM's, Distributors, Warehouses (Pack Slip)	8.4.2, 8.4.3 (Information for External Providers), 8.5.2, and 8.6
3.0	Sub-Tier Management	8.1 (Operation Planning and Control), 8.4 (Control of Externally Provided Process, Products, and Services), 8.4.2, 8.4.3, 8.6, and 10.2 (Nonconformity and Corrective Action)
4.0	Raw Material Certification	7.1.5 (Monitoring and Measuring Resources), 8.1, 8.1.4 (Prevention of Counterfeit Parts), 8.4.3, and 8.6
5.0	Configuration Management	7.5 (Documented Information), 8.1, 8.1.2 (Configuration Management), 8.5.2, 8.5.6, and 8.6
6.0	Traceability, Identification & Control	7.5, 8.1, 8.5.1 (Control of Production and Service Provision), 8.5.2, 8.5.6, 8.6, and 8.7 (Control of Nonconforming Outputs)
7.0	Material Review Board (Nonconformance)	7.5, 8.5.6, 8.7, and 10.2
8.0	Re-Submission of Rejected Material	7.5, 8.5.6, 8.7, and 10.2
9.0	Packaging/Shipping	7.5, 8.1, 8.4.3, 8.5.4 (Preservation), 8.5.5 (Post-Delivery Activities), and 8.6
10.0	Record Retention	7.5.3 (Control of Documented Information)
11.0	Inspection	8.6, and 9.1.1 (Monitoring, Measurement, Analysis, and Evaluation)
12.0	First Article Inspection (AS9102)	8.5.1, and 8.5.1.3 (Production Process Verification)
13.0	Supplier Quality Control System	7.1.5, 9.1 and 10.2
14.0	Source Inspection	8.4.2 and 8.6
15.0	Military Specification Items	8.4
16.0	FAA Repair Station	8.4 and 8.6
17.0	Documentation Language (English)	7.4 (Communication) and 7.5.2 (Creating and Updating)
18.0	Right of Access (Customer/Gov't)	8.4.2 and 9.2 (Internal Audit)
19.0	Lead-Free Control Plan	8.1, 8.3 (Design and Development of Products and Services), and 8.5.1
20.0	Safety, Compliance, Ethics Awareness	7.3 (Awareness), 5.1.1 (Leadership and Commitment), and 8.1.3 (Product Safety)
21.0	Handling & Control of Government Property	8.5.3 (Property Belonging to Customers or External Providers)
22.0	Source Control Drawings (COTS)	8.3.6 (Design and Development Changes), 8.5.6 (Control of Changes), and 8.4
23.0	Shelf-Life Products	8.5.2 (Identification and Traceability), 8.5.4 (Preservation), and 8.6 (Release of Products and Services)

UR Supplier Quality Requirement is based on AS9100 and ISO 9001 standards.

Where to find UR Supplier Quality Requirements?

- Link: Our Supplier Portal | United Rotorcraft
- Form Number: 400-QMS-QAS-2 | Revision L

SCRR | Supplier Concern Resolution Request

Frequency

- ✓ Before shipment (when applicable) to United Rotorcraft

Why is it required?

- ✓ Required on UR Supplier Quality Requirements policy 400-QMS-QAS-2 Rev L
- ✓ **It is a requirement of AS9100 and ISO 9001**, 8.7 (Control of Nonconforming Outputs), 8.5.6 (Control of Changes), 8.4.3 (Information for External Providers), 7.5 (Documented Information), and 10.2 (Nonconformity and Corrective Action)

Why the Supplier Should Submit One?

- ✓ **Prevents rejection**: Parts received **without a valid SCRR** for known discrepancies will be **rejected** and will impact supplier quality rating.
- ✓ **Ensures traceability**: SCRR number must appear on the Certificate of Conformance and accompanies shipment.
- ✓ **Protects the supplier**: Provides written, traceable authorization for deviations—verbal instructions are **invalid**.
- ✓ **Drives improvement**: Triggers review, corrective action, and permanent fix for recurring issues..

Purpose of SCRR

- ✓ Formal document used by suppliers to communicate **any issue, deviation, or clarification request** to United Rotorcraft before shipping parts.
- ✓ It serves as the **only approved method** to request:
  - ➢ Deviation from drawing, process, or PO requirements
  - ➢ Clarification of ambiguous requirements
  - ➢ Reporting of **known nonconformances** or **process changes**
- ✓ Acts as a **contractual change** to the Purchase Order once approved by United Rotorcraft.

Where to find certification for United Rotorcraft?

- ✓ The buyer from United Rotorcraft shall provide such SCRR when requested.
- ✓ In addition, it can be found in United Rotorcraft Supplier Portal:
  - ➢ Link: Our Supplier Portal | United Rotorcraft
  - ➢ Form Number: F200-QMS-QS-3-3 | Revision D

Concerns or Recommendations?

For any concerns or recommendations contact:

URQualityAssurance@airmethods.com

FAI | 2 Year Lapse – Meaning and Intent

Meaning and Intent

- ✓ If a part or assembly has **not been manufactured for two or more years**, the **original FAI results are no longer considered current**.
- ✓ The supplier must perform an **updated or partial FAI** to ensure the process, tooling, materials, and personnel can still produce conforming parts.
- ✓ The **two-year clock** runs from the **end of the last production operation** (not shipment date) until **the restart of production**.

Why This Exists?

Processes, materials, and even operator skill or calibration can change over time. The 2-year lapse rule.

- ✓ Ensures **process capability is still valid**.
- ✓ Verifies that **no degradation or undocumented changes** have affected the product.
- ✓ Provides **confidence to the customer** that after a long period of inactivity, the product still meets specification.

In short — a 2-year lapse is the trigger point where you must revalidate your FAI to ensure product and process conformity after extended inactivity.

Example

If a part was last produced in March 2023 and production restarts in June 2025, more than two years have passed since the last operation.

- ✓ You must perform at least a partial FAI on the affected characteristics (or a full FAI if appropriate).

Cross-reference with United Rotorcraft Requirements

United Rotorcraft's 400-QMS-QAS-2 Rev L, Code 12.0 (First Article Inspection) includes the same requirement:

- ✓ A lapse in production for two years shall require an update for any characteristics that may be impacted by the inactivity. This lapse is from the completion of last production operation to the actual restart of production.