ASQR-01 Revision 11 Major Changes and FAQ

These will be updated and added as further feedback is received.

Farmington, CT 06032
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Section 1: General ASQR-01 FAQ

Q: When do suppliers need to be compliant to ASQR-01 R11?

A: It is UTC's expectation that all suppliers download a copy of ASQR-01 R11, read and understand the changes, and begin incorporating it into their Quality Systems and manufacturing processes in order to meet the compliancy time limit listed in the document.

Q: Why is ASQR-01 R11 no longer formatted in alignment with AS9100 series?

A: UTC has made the decision to no longer align to AS9100 to clarify by applicability. It also allows UTC to not require a change to be made when the industry does.

Q: What is the Applicability Table?

A: The Applicability Table defines specific requirements based on the type of product(s) and/or service(s) the supplier and its supply chain provides to UTC. In previous versions of ASQR-01, determination of requirement applicability was left to the supplier which led to unclear expectations and potential audit concerns, far too late in the process. This revision further clarified the Applicability Table, and reorganized the document to be clearer. We encourage you to contact your UTC representative with any questions concerning your specific application.

Q: What are the raw material testing requirements in ASQR-01 R11?

A: Based upon supplier feedback, we no longer require that an independent test per material per supplier shall be performed at least once per year. Other Member requirements may have more strict and/or unique requirements for material testing and need to be carefully adhered to.

Q: What are the official methods for communication?

A: All methods for communication for quality related subjects can be found in section 4.2 where ASQR-01 Form 3 should be used for all formal communications and requests with respect to UTC and Member-specific quality requirements unless otherwise listed in Table 2.

A further exception is that ASQR-01 Form 3 is not to be used for a request for disposition of product nonconformance as these types of requests must be addressed by the design authorities of each member using member specific non-conformance dispositioning systems/forms. Please contact your member representative if you have further questions concerning these types of requests.

Q: Further in the document, Section 4.2.2.2 states that suppliers shall only accept agreements and instructions in writing - Does this include emails? If an Engineer sends an email to change the tolerance of a dimension, can this written instruction be used? If a purchasing agent sends an email accepting shipment although one or more product release requirements have not been met, can this written instruction be used?

A: While emails are a necessary method of daily communication and back-and-forth information, all official communication must use the methods listed in Section 4.2.2 of as they cover all aspects of communication and are always in a written format. Whenever in doubt, ASQR-01 Form 3 is the appropriate written method to ensure an official documented response.

Q: Where can suppliers obtain industry standards/requirements that are specified in ASQR-01?

A: Within the ASQR-01 R11 electronic document are links to the publishers of all applicable internal and external documents. Many are available from other providers and can be easily found with simple web searches.

NOTE: Some referenced standards are only available commercially from the author.

Q: Why is UTC emphasizing Work Transfer requirements and what is the need for notifying and/or requesting approval from UTC members prior to transferring work?

A: UTC data identifies poor Work Transfers as a common denominator relating to a high percentage of supplier escapes and is focusing on ensuring suppliers have robust processes in place to manage their own transfers as well as all transfers within their own supply chain. Critical parts and/or processes, parts/modules that have interaction/integration risks or issues, and program or regulatory requirements are all reasons for which a UTC Member may require a supplier to notify or request permission prior to making a work transfer (e.g., approval is always required prior to work transfers for all P&WC suppliers and their respective supply chains).

Q: Why has UTC added Delegated Quality Representative/Delegated Product Release Verification program requirements to ASQR-01?

A: With the release of the industry standard AS9117, Delegated Product Release Verification, and with the common DQR training defined in the industry standard AS13001, Supplier Self Release Training Requirements, (soon to be revised to “DPRV Training Requirements”), UTC members are working to converge on common DQR requirements thus reducing divisional requirements variance.

Q: What documented information does ASQR-01 require suppliers to retain?
A: All supplier requirements of ASQR-01 R11 are based upon AS9100D where suppliers are required to retain records established to providing evidence of conformity to requirements and of the effective operation of the quality management system. ASQR-01 has some specific retention requirements listed in section 4.4.2 and suppliers are encouraged to use the aforementioned communication methods to request clarification from UTC Members regarding the pertinence of any quality document in use by the supplier.

Q: How do the UTC Aerospace Supplier Quality Requirement documents link to each other and ASQR-01?

A: ASQR-01 is the overriding UTC supplier quality document and aside from ASQR-09.2, UTC Production Part Approval Process (PPAP) that is invoked at a part number level, ASQR-01 requires suppliers to comply with the remaining UTC quality requirements.

Q: When an industry standard that is a requirement of ASQR-01 is revised, how long does my company have to become compliant?

A: Generally, UTC expects compliance within 60 days of the date of any revised supplier requirement document including industry standard revisions. UTC suppliers will receive a special notification through the standard communication channels if there are unique circumstances that would necessitate a different compliancy timeline. Supplier needs to have a method to show how they established compliancy. The preferred method is to perform a gap analysis using ASQR-01 Form 1 and ASQR-01 Form 5, but its use is not mandated if you have an internal process.

Q: What is MSA (Section 5.4)?

A: Measurement Systems Analysis (MSA) concerns the determination of how much the variation within the measurement process contributes to overall process variability. This is a key foundation block for consistent product quality.

It is critical the MSA requirements be met in order for suppliers to attain effective process control and meet the requirements of UTCQR-09.1, Process Certification Requirements.

Q: Under what conditions may a supplier reduce inspection frequency of product characteristics?

A: The requirements for reduced inspection frequency are contained within ASQR-20.1, “Supplier Sampling Requirements”, that is also specified in the same section as MSA. Clearly the ability to utilize stable process control to support reduced inspection is again dependent upon accurate MSA and ASQR-20.1 provides the additional conditions under which supplier sampling is permitted. New, is the introduction of the industry standard AS13002, “Requirements for Developing and Qualifying Alternate Inspection Frequency Plans”, as an alternate means of complying with ASQR-20.1 when planning to implement alternate inspection frequency plans where characteristics are not inspected 100% of the time.

Q: Where can I go with any additional questions?

A: The ASQR-01 Form 3 is the general tool for requesting additional clarification from your UTC Member. Other possible sources of information may be your Member’s

Supplier Quality or Supplier Audit organizations. For general ASQR-01 questions, please email quality@utc.com.

Section 2: ASQR-01 Qualified Distributor List (QDL) FAQ's

Q: What is the Qualified Distributor List (QDL)?

A: The Qualified Distributor List (QDL) has been developed as an integral part of the UTC strategy for counterfeit material avoidance.

It is defined as the list of Distributors that are qualified by UTC to provide metals, electronics, and hardware.

Note: *Electronics include electrical, electronic, and electro-mechanical components (e.g., connectors, wire, electronic components, terminals, lugs, pc boards, semiconductors). Hardware includes fasteners (e.g., nuts, bolts, rivets, washers, pins, screws, clamps, springs, seals, O-rings, ferrules, fittings). Metals include metallic raw materials (e.g., bar, sheet, plate, tube, wire, forging, casting, billet, and ingot).*

Q: What is TRACEselect and who pays the $500 fee?

A: TRACEselect is used to create a due diligence report on the Distributor. The report includes information regarding the Distributor's compliance to legal and regulatory matters. When a supplier submits an ASQR-01 Form 9 for one of their Distributors, a TRACEselect request will be emailed to both the supplier and distributor. There will be a link in the email where the distributor can accept the request, pay the $500 fee, and fill out the questionnaire.

Note: *The Distributor must be the one who accepts the request, NOT the supplier. There is a $500 fee to accept the request, which can be paid for by either the supplier or distributor. UTC does not offer reimbursement. Any reimbursement must be independently negotiated between the supplier and the Distributor.*

Q: After submitting ASQR-01 Form 9, will I be updated on its status?

A: Status updates will be emailed to you along the process. You will receive an email when a TRACEselect request has been made and another email after the TRACEselect report has been reviewed. You will also be informed if a Distributor is rejected from the QDL.

Q: Where is the ASQR-01 Form 9 and how do I submit one?

A: The ASQR-01 Form 9 can be found here. Once it is filled out, please email it to QDL@utc.com.

Q: What can I do to ensure the approval process is completed in a timely manner?

A: Make sure your ASQR-01 Form 9 is filled out to the best of your ability. Incomplete submissions will be rejected until the necessary information is provided. Attach a copy of the Distributor's most recent AS9100/AS9120 Certificate when submitting ASQR-01 Form 9. Please ensure the location address on the Certificate matches the Distributor's address in ASQR-01 Form 9. If a copy of the Certificate is not provided and cannot be found on the Distributor's website, the submission will be rejected until a copy is provided.

Promptly accept the TRACEselect request, pay the $500, and fill out the questionnaire. The approval process cannot continue until this is done. The quicker the request is accepted and paid for, the quicker the Distributor can be added to the QDL. Please note that the Distributor must be the one who accepts the request, NOT the supplier. The TRACEselect request will be sent to you after submitting a completed ASQR-01 Form 9. There will be a link in the email where the Distributor can accept the request, pay the $500 fee, and fill out the questionnaire

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Q: Do Distributors outside of those defined in ASQR-01 Rev 11 need to be on the QDL?

A: No, only Distributors of metals, electronics, and hardware as noted below.

Note: *Electronics include electrical, electronic, and electro-mechanical components (e.g., connectors, wire, electronic components, terminals, lugs, pc boards, semiconductors). Hardware includes fasteners (e.g., nuts, bolts, rivets, washers, pins, screws, clamps, springs, seals, O-rings, ferrules, fittings). Metals include metallic raw materials (e.g., bar, sheet, plate, tube, wire, forging, casting, billet, ingot).*

Q: My Distributor does not have one of the required certifications, what do I do?

A: We ask that all Distributors in the supply chain shall be certified by an industry accredited body to AS/EN/JISQ 9100, AS/EN/JISQ 9120, ISO 9001, or IATF16949:2016.

Q: If a Distributor is AS9100/AS9120 certified does it still need to be on the QDL?

A: Yes, if it is a Distributor of metals, electronics or hardware (see ASQR-01 section XXX for more information).

Q: Once a Distributor is approved, do they need to wait for new QDL before proceeding with orders?

A: No, the Distributor can be used as soon as you receive email confirmation of its approval onto the QDL. Additions will not be reflected on the QDL until its next update.

Q: What is the QDL update frequency?
A: The update frequency will vary depending on the number of submissions we receive.

Q: What if a current Distributor my company uses is not on the Qualified Distributor List?

A: ASQR-01 Form 9 must be completed and returned to the UTC Member for review. If all the necessary requirements of the program have been satisfied, the Distributor will be added to the QDL. If the proposed Distributor is not meeting the program requirements, the UTC Member will provide the necessary conditions for future use of the Distributor.

Q: Do the new QDL requirements affect aftermarket Maintenance, Repair and Overhaul (MRO) sites?

A: No, MRO sites are not affected by the new QDL requirements.

Q: If a Distributor sources its parts from other Distributors, does the entire chain of Distributors need to be on the QDL or just the final Distributor?

A: The requirement is that all Distributors in the supply chain are registered in the QDL.

Q: Does a Distributor need to process a Form 9 for a name change or change of address?

A: Yes. The Form 9 will be used for all updates. Name and location changes should also trigger a TRACESelect report. The distributor list is by location and Distributors will not be approved without the TRACESelect report.

Q: What do I do with product that was purchased prior to March 31st, 2017 from a Distributor not on the list?

A: Any product purchased prior to March 31st, 2017 from a Distributor not on the list is acceptable if it meets the requirements of the original purchase order.

Q: Who is supposed to audit each distributor in QDL against ASQR requirement?

A: It is the responsibility of the supplier to manage their supply base.

Q: Where can I go with any additional QDL questions?

A: An email has been set up for the Qualified Distributor Process. Please email questions to QDL@UTC.com.

ASQR-01 Section by Section Changes (Sorted by Rev 11)

Rev 11	Rev 10
4.1.1	4.1.1
4.1.2	4.1.3
4.1.3	7.4.1 a
4.2.1.1	7.2.2 2
4.2.1.2	7.2.3
4.2.2.1	4.1.9.3
4.2.2.2	7.2.3 a
4.2.2.3	4.1.9.1
4.2.3	7.1.4
4.2.4	4.1.6
4.2.5	4.1.7
4.2.6	Intro
4.3.1	4.1.10
4.3.2	4.1.11
4.3.3	4.1.12
4.3.4	4.1.13
4.3.5	4.1.14
4.4.1	4.2.3 & 4.2.4
4.4.2	4.2.4
4.5.1	8.5.2 f
4.5.2	8.3 d
4.5.3	8.3 b
4.5.4	8.5.2 f 1.
4.5.5	8.5.2 f 2.
5.1.1	4.1.2
5.1.2	7.4.3 3.
5.1.3	7.4.3 3.
5.2.1	7.5.1 f 1.
5.2.2	7.5.1.1 1.
5.2.3	7.5.1.1 2.
5.2.4	new
5.3	7.6 a.
5.4.1-5.4.4	8.2.4 2
5.4.5-5.4.6	8.2.4 1
5.5.1	7.5.1 f 2.
5.5.2	7.5.1 f 2. 2.1
5.6.1	4.1.4
5.6.2	7.5.2 1.
5.6.3	7.5.2 a
5.6.4	7.5.2 b

ASQR-01 Section by Section Changes (Sorted by Rev 10)

Rev 11	Rev 10
4.1.1	4.1.1
4.3.1	4.1.10
4.3.2	4.1.11
4.3.3	4.1.12
4.3.4	4.1.13
4.3.5	4.1.14
5.1.1	4.1.2
4.1.2	4.1.3
5.6.1	4.1.4
4.2.4	4.1.6
4.2.5	4.1.7
4.2.2.3	4.1.9.1
4.2.2.1	4.1.9.3
4.4.1	4.2.3 & 4.2.4
4.4.2	4.2.4
4.2.3	7.1.4
4.2.1.1	7.2.2 2
4.2.1.2	7.2.3
4.2.2.2	7.2.3 a
4.1.3	7.4.1 a
5.1.2	7.4.3 3.
5.1.3	7.4.3 3.
5.2.1	7.5.1 f 1.
5.5.1	7.5.1 f 2.
5.5.2	7.5.1 f 2. 2.1
5.2.2	7.5.1.1 1.
5.2.3	7.5.1.1 2.
5.6.2	7.5.2 1.
5.6.3	7.5.2 a
5.6.4	7.5.2 b
5.3	7.6 a.
5.4.5-5.4.6	8.2.4 1
5.4.1-5.4.4	8.2.4 2
4.5.3	8.3 b
4.5.2	8.3 d
4.5.1	8.5.2 f
4.5.4	8.5.2 f 1.
4.5.5	8.5.2 f 2.
4.2.6	Intro
5.2.4	new

ASQR-01 changes from Rev 10 to Rev 11 8/9/18

Rev 11	Rev 10	Change
Appendix 1	Applicability Table	Moved to Appendix 1 and added a flow chart to better determine types of suppliers
Introduction	Introduction	Restructured entire document to be independent of the AS/EN/JISQ 9100 numbering scheme to better group related requirements
Scope	Scope	Clarified that spec applies to all suppliers not just OEM
Definitions	Definitions	Definition of BTP was clarified –This includes suppliers that purchase parts from third parties manufactured against UTC Member proprietary drawings and don't add any additional value themselves
Definitions	n/a	Added definition: Operator Certification
4.5	8.3 c)	Nonconforming product – removed the 30 day period to scrap parts since this is covered in AS9100D
4.2.2.2	7.2.3 a)	Customer communication Form 2 – clarified types of changes requiring UTC notification
4.2.2.3	4.1.9.2	Clarified the use of form 3
4.2.3	7.1.4 1.	Work transfer – removed duplication from AS9100 but still require Form 4 to be submitted.
4.3.1	4.1.10	Removed requirement to complete form 5 within 60 days. Instead supplier is required to comply with the latest revision by the document effectivity date. Recommend using form 1/5, but not required
4.3.4	4.1.13	Management of process validation – removed reference to AS9103 and included "defined in UTCQR-09.1"
4.3.5	4.1.14	FOD: removed reference to ASQR-15.1 and added AS9146. Also added consideration of residual magnetism (previously in ASQR-15.1)
4.4.2 Table 3 & 4	Table 5	Retention of Records – added retention periods for Radiographs and Images (per ASQR-01 rev 9)
5.1.3	7.4.3 4.	Clarified material traceability
5.2.2.2	7.5.1.1 1.	Recommended part marking approval from Member
5.2.3	7.5.1.1 2	Changed UPPAP to PPAP to align with upcoming revision of ASQR-09.2
5.4.1	8.2.4 2.1	Accuracy Ratio – clarified minimum requirement of 4 to 1 – removed all other reference ratios and moved definition of Significant Out of Tolerance to applicable table
5.4.4	6.2.2	Simplified visual requirements
5.4.6	8.2.4	Monitoring and Measuring of Product – added requirement to obtain member approval of Op Cert program
5.6.1	4.1.4	Special Process Supplier – clarified that QMS certification is to AS9100 or Nadcap AC7004
n/a	4.1.5	Removed: access to OASIS since this is already understood through other requirements (T&C)
n/a	4.1.8	Removed: ramifications of suppliers loosing certification since this is always a UTC prerogative to remove a supplier from the supply base
n/a	4.2.4.1	Removed: duplicate of AS9100 requirements
n/a	7.1 d)	Removed: Risk – already covered in AS9100
n/a	7.2.2 1.	Removed: Contract review – removed duplication from AS9100 8.2.3.1, 8.2.3.2
n/a	7.4.2 1	Removed: For Member End use
n/a	7.4.3 1.	Removed: Material testing – removed as this is covered in AS9100 8.4.3
n/a	7.5.4	Removed: Customer Property – removed since this is covered in T&Cs
n/a	7.6 a) 1	Removed: Control of Monitoring and Measuring Equipment – removed the 95% reliability
n/a	8.2.2.1.	Removed: Internal audit – removed requirement for Form 1 as this is already in AS9100 D
n/a	8.2.4 3.and 4.	Removed: Lighting requirements – removed since this is not a quality system requirement