

ASQR-01 Revision 10 FAQ's

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

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 an UTC maintained registry of distributors that are qualified by UTC to provide hardware, electronics, and/or metals, either directly to UTC, and/or to any supplier providing product to UTC. Qualified Distributors have been assessed and meet the requirements that UTC has deemed important for these types of products.

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. After submitting [ASQR-01 Form 9](#), 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. Please note that 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 done separately with the supplier.

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 while 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.

Q: Do distributors outside of metals, electronics, and hardware need to be on the QDL?

A: No, only distributors of metals, electronics, and hardware.

Q: My distributor is not AS9100, AS9120, or ISO certified, what do I do?

A: We ask that all distributors on the QDL are AS9100/AS9120 certified or at least ISO certified. Please submit [ASQR-01 Form 9](#) for a distributor that is certified, or choose a distributor already on the QDL.

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

A: Yes, only distributors that are AS9100/AS9120 certified AND listed on the QDL should be used.

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: Due to the QDL recently being implemented, the update frequency will vary depending on the number of submissions we receive. In the future, we expect an update frequency of 6 months.

Q: Do the new QDL requirements affect 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: If the PO is placed with a QDL distributor then no, the chain of distributors does not need to be on the QDL.

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

A: There is an auditor team that does all the supplier audits.

Q: When do suppliers need to be compliant to ASQR-01 R10?

A: It is UTC's expectation that all suppliers download a copy of ASQR-01 R10, read and understand the changes, and begin incorporating it into their Quality Systems and manufacturing processes in order to meet the compliancy time limit. Full compliance is mandatory by January 31, 2017 except for the new Qualified Distributor requirement where compliance is required by March 31, 2017.

Q: Why is ASQR-01 R10 formatted in alignment with AS9100C vs. the now released AS9100D?

A: UTC began the writing cycle of ASQR-01 R10 well in advance of the release of AS9100D. The plan is to release ASQR-01 Revision 11 to align with the numbering scheme of AS9100D when certification/new audits to it will begin in the latter half of 2017 thus coinciding more closely with when organizations will have to implement 9100D. ASQR-01 R10 contains many significant changes from the previous revision and to help with the change management from ASQR-01 R9 to R10, the decision was made to retain the current numbering scheme for clarity and ease of transition.

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: Why was the Applicability Table introduced?

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 added the Applicability Table, developed from industry best practices and supplier feedback, to clarify the expectations of UTC at the outset; we encourage you to contact your UTC representative with any questions concerning your specific application.

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 Trace Select report. The distributor list is by location and distributors will not be approved without the Trace 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: What are the raw material testing requirements in ASQR-01 R10?

A: Where raw material test reports are used to validate material, an independent test per material per supplier shall be performed at least once per year. Other Member programs 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 4.1.9 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 4.

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 7.2.2 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 4.1.9 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 R10 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.

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 Work Transfer 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 full 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. Permission is always required prior to work transfers for all P&WC suppliers and their respective supply chains due to Transport Canada regulatory requirements.

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 required by the industry standard AS13001, Supplier Self Release Training Requirements, (soon to be revised to DPRV Training Requirements), UTC members converged on common DQR requirements thus reducing divisional unique requirements.

Q: What records does ASQR-01 require suppliers to retain?

A: All supplier requirements of ASQR-01 R10 are based upon AS9100C 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 additional requirements listed in 4.2.3 and 4.2.4 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: Section 7.2.3 provides clarity and definition of what communication/documentation must be in English – what do first level Quality procedures include?

A: All internal top level quality systems and control procedures associated with the supplier’s Quality Manual and compliance to ASQR-01 must be maintained in English. Suppliers are encouraged to use the aforementioned communication methods to request help in determining what specific procedures need to be maintained in English.

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

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

ASQR-07.5	Control of Software
ASQR-09.1	Flight Safety Parts Program
ASQR-15.1	Foreign Object Damage/Debris Prevention, Handling, Storage, Packaging, Preservation and Delivery
ASQR-20.1	Supplier Sampling Requirements
UTCQR-09.1	Process Certification 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 compliancy 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. An example is the new Qualified Distributor requirement where compliance is required by March 31, 2017.

Q: What is MSA (Section 8.2.4)?

A: While in the past UTC has had requirements for monitoring and measurement of product and the associated equipment, R10 reflects the ongoing initiative to simplify requirements and align with industry standards and quality language. 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 and R10 provides the base requirements and introduces the use of [AS13003](#), Measurement Systems Analysis Requirements for the Aero Engine Supply Chain continuing our commitment to align with and increase the use of industry standards.

It is critical the MSA requirements be met in order for suppliers to attain effective process control and meet the requirements of both AS9103, Variation Management of Key Characteristics, and [UTCQR-09.1](#), Process Certification Requirements.

Q: In the event of non-conforming product reaching a UTC member, please explain the requirements in section 8.5.2. For 100% inspection for the next three lots, does this mean 100% inspection on all parts in the next three lots?

A: UTC has simplified its RCCA requirements by adopting the industry standard [AS13000](#), Problem Solving Requirements for Suppliers, that also includes required containment actions and notifications. Suppliers should download the common [AS13000 Problem Solving 8D Template](#) that is available on the same website.

The requirement for over-inspection of deviated characteristics has not changed in R10 however it has been clarified due to supplier feedback. An additional independent measurement of the affected characteristic(s) needs to be performed on every part for a minimum of the next three consecutive manufactured lots to ensure corrective action effectiveness.

UTC members may also assign Key Characteristic requirements as specified in [UTCQR-09.1](#) to the deviated characteristics. It should also be noted that any sampling that was being performed on the deviated characteristics should have ceased immediately upon the identification of the deviation(s) and sampling may only recommence upon full completion of the 8D and by meeting all the requirements of [ASQR-20.1](#).

Q: What is considered a “Significant-Out-Of-Tolerance” condition (Section 7.6)?

A: This term, as well as other common industry terms used within ASQR-01, is defined in Section 3, Terms and Definitions. If there are any terms that you are not sure of their meaning and are not contained in Section 3, please contact your member representative or request clarification using [ASQR-01 Form 3](#).

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