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4.2. Certification requirements for Suppliers

A Certification of conformance (CoC) is required for all product delivered. Delivery method can be delivered via hardcopy with shipment or delivered electronic media to shipping@thomasinstrument.com.

Each C of C shall include, at a minimum, the following information:

- Supplier name and address
- Date
- Purchase Order Number and Line
- Quantity
- Part number, description and revision
- Supplier serial number, date code or lot number, when applicable
- Material and process lot identification (e.g. material heat number or lot identifier, material finish and treatment lot identifier) representing the all materials and processes, including special processes, required by technical documentation, when applicable
- Statement of conformance stating compliance to all purchase order and design data requirements, including specifications
- Printed name, title, and Signature of authorized supplier representative
- Shelf-life data when applicable
- Ref 4.3.6 below also for bearings and O rings items.

4.3.2. Distributors



Suppliers of miscellaneous hardware items such as nuts, bolts, fasteners, studs, inserts, terminals, etc., purchased under a national standard or supplier part number may be from either the actual manufacturer or a distributor. In either case, the supplier shall provide a specific CoC statement referencing all drawing, purchase order requirements (including part number), and quantities shipped.

4.3.3. Manufacturer's

Raw material (physical, chemical analysis and test reports) and special process certifications must accompany all shipments of product. Certifications submitted with the first shipment of material on a purchase order do not cover subsequent shipments.

NOTE: DFARS specialty metals clause applies and NADCAP approved suppliers must be used when applicable in accordance with the drawing. COTS (Commercial off the shelf) and Specification Control Drawing parts may be excluded from this requirement.

NOTE: Suppliers (Distributor or Manufacturer) of Electronic Component and assemblies including Printed Circuit Boards, shall provide a CoC statement with test results in addition to statement indicating drawings and specifications and customer approved sources, as applicable, have been met. Original manufacturer's certifications are required with all shipments. As well as comply with DFAR requirement 252.246-7007.

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4.3.4. Special Processors

Specific CoC's shall be provided for all special processes performed on production material. If the purchase order or drawing lists a specific controlling specification for the process, that specification shall be referenced in the CoC, including specification revision level and date. If no controlling specification is referenced, the CoC shall indicate the general parameters of the process performed.


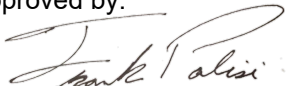
4.3.5. Calibration

The CoC statement for calibration services shall reference the procedures, processes, and equipment and indicate the results as acceptable or unacceptable as well as calibration due date. Traceability to National Institute for Standards and Technology (NIST) must be recorded on the CoC.

4.3.6. Shelf-Life Items

All Shelf-life items must have 80% or greater shelf life remaining at the time of receipt, unless otherwise specified through the purchase order. The lot number and expiration date of such material as well as a statement indicating 80% or greater of the shelf life remaining shall be specified on the certification and affixed to each container. The container(s) shall not be damaged.

- Items made from elastomers such as gaskets, O-rings, seals, etc.; require a specific CoC indicating 80% or greater shelf life remaining. Items made from brand materials, such as Teflon or Viton, should reference these recognized materials and specific compounds. As applicable, the manufacturing date, cure date, expiration date and lot / batch number of such material shall be specified.
- Paints, Varnishes, Adhesives require specific CoCs referencing the appropriate specifications when products are ordered to controlling specifications (such as Military Standard or ANSI standards).
- Bearings require a CoC stating the manufacturer's name, the manufacturer's part number, the country of origin and verification of lubrication and bearing type. Purchasing will request test reports or chemical / physical analysis at time of quotation, if required.

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5. Part and Component Protection

5.1. Material Classifications

The requirements for providing adequate protection of materials (materials, parts, components, and finished products) are dependent on the specific material classification. These include in-process, stored or transported materials. Thomas Instrument has identified three broad classifications of materials each of which have basic packaging requirements which are specified herein. Refer to 5.2 for material protection requirements. These classifications are defined as follows:

5.1.1 Class 1 - Mechanical Parts and Components Includes:

- Thomas Instrument designed parts and components
- Machined parts (partially or completely finished parts)
- Plated parts
- Castings
- Bearings
- Standard electrical parts (connectors, switches, etc.)
- Any other materials not classified as Class 2 or 3

5.1.2 Class 2 - Electronic Components and Products Includes:

- Electronic components (transistors, resistors, capacitors, etc.)
- Electronic products (end products such as level sensors, controllers, assembled circuit boards)

5.1.3 Class 3 – Bulk Items and Raw Material Includes:


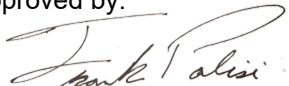
- Bolts, nuts, screws
- Rivets, wire
- O-rings, gaskets
- Other items random packaged in bulk

5.2. Material Protection Requirements

The use of staples and newspaper is prohibited on any packaging. If Thomas Instrument ships utilizing reusable packaging, that same packaging must be used when returning product. A charge will be incurred by Supplier for loss of reusable packaging. Thomas Instrument may charge Supplier for damage to or deterioration of any products resulting from improper packing or packaging. Supplier shall comply with any special instructions stated in the Purchase Order. Identification and traceability shall be maintained in all instances.

5.2.1. Class 1 - Mechanical Parts and Components

This class of materials requires individual protection of each item such that adequate protection (packaging or preservation) is provided to prevent physical damage or deterioration during handling, transporting, and storage.

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- Seal pack packaging of one or more parts is acceptable if the parts do not contact each other.
- Multi-wrapping of smaller parts is acceptable if parts do not contact each other.
- Packaging must include appropriate precautions for preservation where needed (e.g., grease for bearings, desiccant to eliminate moisture, oiled for protection from rust/corrosion, etc.)
- Protection for exposed threads and splines to preclude damage, corrosion, and contamination.
- Shipping containers/packaging must be of an appropriate grade to provide adequate protection, in particular for fragile parts.


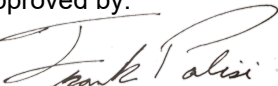
5.2.2. Class 2 - Electronic Parts and Components

This class of materials requires individual protection of each item such that adequate protection is provided to prevent physical damage during handling, transporting, and storage. The use of appropriate faraday containers is required. In addition, the packaging must provide protection from electrostatic discharge. Reference ANSI/S20.20 and ANSI/ ESDS541 for additional information on handling and packaging requirements.

- Multi-wrapping of smaller parts is acceptable if parts do not contact each other and if each part is contained in ESD protective packaging.

5.2.3. Class 3 – Bulk Items and Raw Material


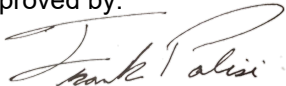
Bulk items generally do not require any special protection. However, some bulk items (i.e., O-rings) should be bagged in small quantities (by batch number) to provide for adequate protection from damage, shelf-life considerations or lot traceability.

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Appendix

DFARS Clauses

- 52.222-50 COMBATING TRAFFICKING IN PERSONS
- 55.222-56 CERTIFICATION REGARDING TRAFFICKING IN PERSONS COMPLIANCE PLAN
- 252.203-7001 PROHIBITION ON PERSONS CONVICTED OF FRAUD OR OTHER DEFENSE-CONTRACT-RELATED FELONIES
- 252.203-7002 REQUIREMENT TO INFORM EMPLOYEES OF WHISTLEBLOWER RIGHTS
- 252.203-7003 AGENCY OFFICE OF THE INSPECTOR GENERAL
- 252.203-7004 DISPLAY OF FRAUD HOTLINE POSTERS (Applies when the Agreement exceeds \$5,000,000)
- 252.204-7000 DISCLOSURE OF INFORMATION
- 252.204-7012 SAFEGUARDING OF UNCLASSIFIED CONTROLLED TECHNICAL INFORMATION (Applies when the Agreement involves access to unclassified controlled technical information resident on or transiting through Seller's unclassified information systems)
- 252.209-7004 SUBCONTRACTING WITH FIRMS THAT ARE OWNED OR CONTROLLED BY THE GOVERNMENT OF A TERRORIST COUNTRY
- 252.211-7000 ACQUISITION STREAMLINING
- 252.211-7003 ITEM IDENTIFICATION AND VALUATION
- 252.215-7000 PRICING ADJUSTMENTS
- 252.219-7003 SMALL BUSINESS SUBCONTRACTING PLAN (DOD CONTRACTS)
- 252.222-7006 RESTRICTIONS ON THE USE OF MANDATORY ARBITRATION AGREEMENTS
- 252.223-7008 PROHIBITION OF HEXAVALENT CHROMIUM
- 252.225-7001 BUY AMERICAN ACT AND BALANCE OF PAYMENTS PROGRAM
- 252.225-7002 QUALIFYING COUNTRY SOURCES AS SUBCONTRACTORS
- 252.225-7006 QUARTERLY REPORTING OF ACTUAL CONTRACT PERFORMANCE OUTSIDE THE UNITED STATES
- 252.225-7007 PROHIBITION ON ACQUISITION OF UNITED STATES MUNITIONS LIST ITEMS FROM COMMUNIST CHINESE MILITARY COMPANIES
- 252.225-7008 RESTRICTION ON ACQUISITION OF SPECIALTY METALS
- 252.225-7009 RESTRICTION ON ACQUISITION OF CERTAIN ARTICLES CONTAINING SPECIALTY METALS (Applies when the Goods contain specialty metals; Note: Use of exceptions not permitted without advance Seller notification and prior Purchaser approval. Paragraph (d) of this clause is excluded)
- 252.225-7010 COMMERCIAL DERIVATIVE MILITARY ARTICLE – SPECIALTY METALS COMPLIANCE CERTIFICATE
- 252.225-7012 PREFERENCE FOR CERTAIN DOMESTIC COMMODITIES
- 252.225-7013 DUTY-FREE ENTRY (Applies when providing components from a qualifying country or components from a nonqualifying country when the estimated duty is expected to exceed \$200 per unit)
- 252.225-7015 RESTRICTION ON ACQUISITION OF HAND OR MEASURING TOOLS
- 252.225-7016 RESTRICTION ON ACQUISITION OF BALL AND ROLLER BEARINGS (Applies when Agreement requires Seller to provide a ball and roller bearing that that is not incorporated into a higher-level assembly)
- 252.225-7021 TRADE AGREEMENTS
- 252.225-7022 TRADE AGREEMENTS CERTIFICATE- INCLUSION OF IRAQI END PRODUCTS
- 252.225-7025 RESTRICTION ON ACQUISITION OF FORGINGS
- 252.225-7028 EXCLUSIONARY POLICIES AND PRACTICES OF FOREIGN GOVERNMENTS
- 252.225-7030 RESTRICTION ON ACQUISITION OF CARBON, ALLOY, AND ARMOR STEEL PLATE
- 252.225-7032 WAIVER OF UNITED KINGDOM LEVIES - EVALUATION OF OFFERS
- 252.225-7033 WAIVER OF UNITED KINGDOM LEVIES
- 252.225-7036 BUY AMERICAN ACT- FREE TRADE AGREEMENT - BALANCE OF PAYMENTS
- 252.225-7037 EVALUATION OF OFFERS FOR AIR CIRCUIT BREAKERS

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252.225-7038 RESTRICTION ON ACQUISITION OF AIR CIRCUIT BREAKERS

252.225-7048 EXPORT-CONTROLLED ITEMS

252.225-7993 PROHIBITION ON CONTRACTING WITH THE ENEMY IN THE UNITED STATES CENTRAL COMMAND THEATER OF

OPERATIONS

252.225-7994 ADDITIONAL ACCESS TO CONTRACTOR AND SUBCONTRACTOR RECORDS IN THE UNITED STATES CENTRAL COMMAND THEATER OF OPERATIONS

252.226-7001 UTILIZATION OF INDIAN ORGANIZATIONS, INDIAN-OWNED ECONOMIC ENTERPRISES, AND NATIVE HAWAIIAN SMALL BUSINESS CONCERNS

252.227-7013 RIGHTS IN TECHNICAL DATA-NONCOMMERCIAL ITEMS (Applies when technical data is specified to be delivered under the Agreement)

252.227-7014 RIGHTS IN NONCOMMERCIAL COMPUTER SOFTWARE AND NONCOMMERCIAL COMPUTER SOFTWARE DOCUMENTATION

252.227-7015 TECHNICAL DATA—COMMERCIAL ITEMS

252.227-7016 RIGHTS IN BID OR PROPOSAL INFORMATION

252.227-7017 IDENTIFICATION AND ASSERTION OF USE, RELEASE, OR DISCLOSURE RESTRICTIONS

252.227-7018 RIGHTS IN NONCOMMERCIAL TECHNICAL DATA AND COMPUTER SOFTWARE--SMALL BUSINESS INNOVATIVE RESEARCH (SBIR) PROGRAM

252.227-7019 VALIDATION OF ASSERTED RESTRICTIONS – COMPUTER SOFTWARE

252.227-7020 RIGHTS IN SPECIAL WORKS

252.227-7021 RIGHTS IN DATA--EXISTING WORKS

252.227-7025 LIMITATIONS ON THE USE OR DISCLOSURE OF GOVERNMENT-FURNISHED INFORMATION MARKED WITH RESTRICTIVE

LEGENDS

252.227-7026 DEFERRED DELIVERY OF TECHNICAL DATA OR COMPUTER SOFTWARE

252.227-7027 DEFERRED ORDERING OF TECHNICAL DATA OR COMPUTER SOFTWARE

252.227-7028 TECHNICAL DATA OR COMPUTER SOFTWARE PREVIOUSLY DELIVERED TO THE GOVERNMENT

252.227-7030 TECHNICAL DATA—WITHHOLDING OF PAYMENT (Applies when technical data is specified to be delivered under the Agreement)

252.227-7032 RIGHTS IN TECHNICAL DATA AND COMPUTER SOFTWARE (FOREIGN)

252.227-7037 VALIDATION OF RESTRICTIVE MARKINGS ON TECHNICAL DATA (Applies when technical data is specified to be delivered under the Agreement)

252.227-7038 PATENT RIGHTS-OWNERSHIP BY THE CONTRACTOR (LARGE BUSINESS)

252.227-7039 PATENTS--REPORTING OF SUBJECT INVENTIONS

252.232-7004 DOD PROGRESS PAYMENT RATES

252.234-7002 EARNED VALUE MANAGEMENT SYSTEM

252.235-7003 FREQUENCY AUTHORIZATION

252.236-7013 REQUIREMENT FOR COMPETITION OPPORTUNITY FOR AMERICAN STEEL PRODUCERS, FABRICATORS, AND

MANUFACTURERS

252.239-7018 SUPPLY CHAIN RISK (Applies when the Agreement involves the development or delivery of any information technology whether acquired as a service of as a supply)

252.243-7001 PRICING OF CONTRACT MODIFICATIONS


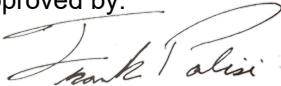
252.244-7000 SUBCONTRACTS FOR COMMERCIAL ITEMS AND COMMERCIAL COMPONENTS (DOD CONTRACTS)

252.246-7001 WARRANTY OF DATA (Applies when technical data is specified to be delivered under the Agreement)

252.246-7003 NOTIFICATION OF POTENTIAL SAFETY ISSUES

252.246-7007 CONTRACTOR COUNTERFEIT ELECTRONIC PART DETECTION AND AVOIDANCE SYSTEM

DOCUMENT BECOMES "UNCONTROLLED" WHEN PRINTED
VERIFY REVISION LEVEL WITH MASTER DOCUMENT LISTS

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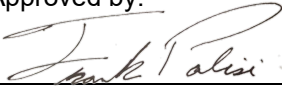
252.247-7023 TRANSPORTATION OF SUPPLIES BY SEA

252.247-7024 NOTIFICATION OF TRANSPORTATION OF SUPPLIES BY SEA

252.249-7002 NOTIFICATION OF ANTICIPATED CONTRACT TERMINATION OR REDUCTION

5252.227-9507 NOTICE REGARDING THE DISSEMINATION OF EXPORT-CONTROLLED TECHNICAL DATA (NAVAIR)

DOCUMENT BECOMES "UNCONTROLLED" WHEN PRINTED
VERIFY REVISION LEVEL WITH MASTER DOCUMENT LISTS

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