



## AS9100 Supplier Requirements Letter Including ITAR Specifications

### **TO: Modine Coatings Suppliers (includes external providers, vendors, service providers, etc.)**

Modine Coatings (hereafter, "Modine") tracks supplier performance based upon quality, delivery, and provision of required certificates/test reports, as applicable, and maintains supplier data accordingly.

If external providers fail to meet Modine's requirements for quality, delivery, and terms and conditions (including those stated herein), Modine personnel will resolve such issues using means appropriate to the nature and severity of problems encountered. Resolution may involve correction, Supplier Corrective Action, or disqualification of suppliers from further use, depending on the nature and severity of the issues.

To become and/or remain an external provider of products and services to Modine, please read, acknowledge, and accept the following Modine supplier requirements, applicable until further notice:

Where specified, suppliers must use external provider sources that are approved by Modine customers. Suppliers must abide by Modine's customers' supplier approval requirements, which are identified in Modine Purchase Orders or in other written statements of requirements, when applicable.

Suppliers must implement a quality management system if Modine deems it necessary.

Suppliers are required to notify Modine of nonconforming processes, products, or services when discovered at suppliers' locations and in cases where product or service release to Modine has already occurred, if applicable. Modine's Management or their designee must review and disposition such nonconforming product or service according to established Modine procedures or its customer's specifications and procedures.

Suppliers must prevent the use of counterfeit materials or parts.

Suppliers of raw materials must prevent the use of raw materials containing conflict minerals per the Dodd-Frank Act, Section 1502.

Suppliers are required to notify Modine of changes manufacture and products, or services, including changes of their external providers or location of manufacture, and obtain Modine's approval.

Suppliers are required to provide right of access by Modine's Management, Modine's customers, and regulatory authorities to the applicable areas of facilities, and to all applicable documented information, at any level of the supply chain, upon request.

Suppliers are required to maintain all applicable records for a minimum retention period of 10 years. Once this retention period has passed, hard copy records must be commercially shredded and electronic records must be deleted from active systems and electronic back-up storage.

Where Modine, or its customers, intends to perform verification at the supplier's premises, Modine shall state the intended verification arrangements and method of product release in the purchasing information.

Suppliers are required to flow down to their external providers applicable requirements including Modine's customer requirements.

Suppliers are to provide test specimens (e.g., First Articles) for design approval, inspection/verification, investigation, or auditing when indicated in the purchasing information.

Suppliers are to ensure that employees and persons doing work that affects or can affect the quality of the supplier's products and services are aware of their contribution to product or service conformity, and the importance of ethical behavior.

Suppliers are responsible to take Corrective Action when Modine or Modine's customers flow down corrective action requirements in those cases where it is determined that suppliers are responsible for



## AS9100 Supplier Requirements Letter Including ITAR Specifications

the nonconformity. Actions may be documented using Modine's Corrective Action forms, Modine's customer's forms, or the supplier's forms, as appropriate. Suppliers are required to respond to Corrective Action requests in a timely manner. Corrective Actions must demonstrate root cause analysis, implementation of actions, and verification of action effectiveness. Should actions prove ineffective, further actions may be requested or suppliers may be disqualified from further use.

Suppliers of calibration services or calibrated equipment are required to provide certificates of calibration bearing traceability to the National Institute of Standards and Technology (NIST) or other national or international standards, reporting "as found" information and "adjustment" information, as applicable, along with all relevant measurement data.

Modine is an ITAR (International Traffic in Arms Regulations) Registered company. It is our duty to ensure that our customers' ITAR-controlled items or technical data are protected. Approved suppliers are required to formally agree to the following:

- External provider agrees to have controls in place that prevent individuals from ITAR proscribed countries (see below) from coming in contact with Modine provided technical data and items.
- External provider agrees to return or shred all technical documents provided by Modine.
- External provider agrees to return all items and parts, damaged, un-usable or otherwise provided by Modine.
- Non-ITAR registered suppliers who receive technical data or items from Modine must confirm that they do not engage in the export of items or technical data to proscribed countries (see below).

### ITAR List of Proscribed Countries:

Afghanistan	Angola	Belarus	Burma	China (PRC)
Cyprus	Cuba	Haiti	Iran	Iraq
Liberia	Libya	Nigeria	North Korea	Rwanda
Somalia	Sudan	Syria	Vietnam	Yemen
Zimbabwe				

### **Pertaining to suppliers of special processes:**

Modine requires suppliers of special processes, upon request, to provide evidence of process validation according to the requirements of ISO 9001:2015, 8.5.1 f or AS9100D 8.5.1.2. Evidence of validation could include a third-party registration to ISO 9001, AS9100, Nadcap, or similar standard that requires validation of special processes. Alternatively, external providers of special processes may provide a letter or other evidence of process validation (e.g., from other aerospace customers). A written response to this letter may also be acceptable; please sign, date, and return.

Evidence of process validation must demonstrate conformity to the following requirements (excerpted from AS9100D 8.5.1.2):

*"The organization shall validate any processes for production and service provision where the resulting output cannot be verified by subsequent monitoring or measurement, and as a consequence, deficiencies become apparent only after the product is in use or the service has been delivered.*

*Validation shall demonstrate the ability of these processes to achieve planned results.*

*The organization shall establish arrangements for these processes including, as applicable:*

- a) definition of criteria for review and approval of the processes;*



## **AS9100 Supplier Requirements Letter Including ITAR Specifications**

- b) determination of conditions to maintain the approval;*
- c) approval of facilities and equipment;*
- d) qualification of persons;*
- e) use of specific methods and procedures for implementation and monitoring the processes;*
- f) requirements for documented information (records) to be retained.”*

The above terms and conditions pertain to each Modine Purchase Order or other purchasing methods; acknowledgement and acceptance of the above terms and conditions will be evidenced by your acceptance of Modine's future Purchase Orders or other purchasing documents after the date of receipt of this letter.

Thank you for your cooperation in this matter. Please let us know if you have any questions.

Sincerely,

Modine Coatings