

Aerojet Rocketdyne Quality Note

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M04

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1. PURPOSE

This document defines the requirements for validating a manufacturing or assembly process which produces parts for Aerojet Rocketdyne (AR) using the Production Part Approval Process (PPAP).

A PPAP is a collection of supplier documentation or other objective evidence resulting from the completion of an Advanced Product Quality Plan (APQP) that validates that all AR engineering design record and specification requirements are:

- Properly understood by the supplier
- Supplier's manufacturing or assembly process has the potential to produce the product
- Supplier can deliver to the quoted production rate.

When invoked the Supplier must receive AR approval of the PPAP file prior to delivery of product.

Note: This Quality Clause is modeled after AIAG's APQP/PPAP with distinctive requirements found in the Aerospace Industry (AS/SAE Requirements) and International Aerospace Quality Group (IAQG) Supply Chain Management Handbook (SCMH). Seller is responsible to execute the APQP and appropriately report the status to Buyer at the established frequency. It is Seller's responsibility to obtain industry standard documents such as the AIAG APQP Manual and SCMH Section 7.2 for additional guidance.

2. APPLICATION

This Quality Note is flowed via a Purchase Order (PO) when AR determines it is applicable. Because of variations in product criticality and supplier manufacturing complexity, AR may add special instructions in the PO pertaining to PPAP that are not included in the body of this specification. In other words, the PPAP requirement is the totality of this specification AND any PO special instructions.

The supplier shall include records pertaining to any PPAP special instructions in the PPAP file referenced in paragraph 5.1.

NOTE: Physical retention of PPAP elements following review or approval will be per existing contracts or agreements.

When applicable and agreed upon with AR, the supplier shall flow down this requirement to their supply chain to obtain records required and ensure all detail part characteristics are properly included in the PPAP file.

This specification is generally applicable to an item from the supplier's first production run and therefore not intended for prototype products or product meant for experimentation or Research and Development (R&D).

The PPAP requirement is not applicable to standard parts (e.g., MS, AN, AS, etc.), Commercial Off-the-Shelf (COTS) parts or parts procured directly from a distributor.

As soon as practical after the PO and in agreement with the timeline in Section 5.4, the supplier and AR shall identify required PPAP elements, applicable component(s), its feature(s), and the process that produces the feature(s).

2.1. Resubmissions

A PPAP resubmission is required when a previously approved product or process undergoes a change (reference AS9102) or when specified in purchase order. When a resubmission is required due to a product or process change, the supplier shall re-perform and submit for approval those PPAP elements affected by the change.

Examples of changes that require a PPAP resubmission:

- Design that affects form, fit or function
- Material spec that alters properties or characteristics
- Supplier owned items that affect the control plan, such as:
 - Process
 - Facility or work cell
 - Equipment
- Tooling that defines or accepts product

The supplier shall notify AR of changes to their process that trigger a PPAP resubmittal and the need for re-approval. Re-submissions will be documented on the PPAP Approval Form (Appendix B).

2.2. Applicable Documents

The following publications form a part of this document to the extent specified herein. The latest edition of the referenced document, including any amendments, applies.

AS9102	Aerospace First Article Inspection Requirement
AS9103	Aerospace Series - Quality Management Systems – Variation Management of Key Characteristics
AS9145	Requirements for Advanced Product Quality Planning and Production Part Approval Process
SAE J 1739	Potential Failure Mode and Effects Analysis in Design (Design FMEA), Potential Failure Mode and Effects Analysis in Manufacturing and Assembly Processes (Process FMEA)
SCMH -	IAQG Supply Chain Management Handbook (SCMH) – http://www.sae.org/iaqg/

3. CONVENTIONS

The following conventions are used in this specification:

- The words “shall,” “will,” or “must” indicate mandatory requirements.
- The word “should” indicates a requirement with some flexibility allowed in compliance methodology.
 - A supplier must be able to show that their approach meets the intent of the “should.”
- Words “typical,” “example,” “reference,” or “e.g.” indicate suggestions given as guidance.

- “NOTES” are clarification of a stated requirement and not an additional requirement.

4. DEFINITIONS

The items defined below are not necessarily requirements of PPAP but are referenced in this document.

4.1. Commercial Off-the-Shelf (COTS) Items

Product offered commercially or via catalogues and often through distributors. COTS items are not necessarily standard items.

4.2. Component

The physical object that is the subject of the control plan. The component may or may not be the item that is on the PO, for example if AR is ordering an assembly.

NOTE: The component definition may originate from either AR or the supplier.

4.3. Critical Item (CI)

An item (e.g., parts, software, characteristics, processes) having significant effect on the product realization and use of the product; including safety, performance, form, fit, function, producibility, service life, etc., that requires specific actions to ensure they are adequately managed. Examples include safety CIs, fracture CIs, and mission CIs.

4.4. Item

The subject of the PO; what the supplier is providing to AR; also known as deliverable or End Item.

4.5. Key Characteristic (KC)

An attribute or feature whose variation has a significant influence on product fit, performance, service life, or producibility that requires specific action for the purpose of controlling variation (reference AS9103).

KCs for a part, subassembly, or system are those selected geometrical, material properties, functional, and/or cosmetic features, which are measurable, whose variation control is necessary in meeting requirements.

Process KCs are those selected measurable characteristics of a process whose control is essential to manage variation of part or system KCs.

NOTE: CIs and KCs should be traceable through the process flow diagram, PFMEA, and control plan.

4.6. Product Characteristic

An objectively measurable property of a product specified in the product definition (e.g., length, diameter, flatness, hardness, voltage, resistance). A characteristic usually has a target value and a tolerance.

4.7. Production Process Run

The series of steps or sequences needed to produce a set of products using the same equipment, materials, operators, method, process settings, tooling and gaging that will be used to meet the rate / volume needs of AR. Reference Figure 1.

4.8. Standard Parts

Parts that are defined by industry recognized specifications or standards and often offered through distributors. Standard parts are also considered COTS parts.

4.9. Special Instructions

Quality requirements in and/or attached to the PO that are not specified in SupplierNet (on <http://www.rocket.com/supp/qa-terms-and-conditions>).

4.10. Validation

4.10.1 Design Validation

Confirmation through testing a prototype or development article to ensure the product conforms to defined user needs and/or requirements. Design validation follows successful design verification.

4.10.2 Process Validation

Confirmation through physical demonstration that a process consistently produces acceptable results or product meeting its predetermined specifications (i.e., key product or key process characteristics are stable and capable at the desired level).

4.10.3 Product Validation

The assurance that a product meets the needs of AR and other identified stakeholders. It often involves acceptance and suitability with external customers (i.e., qualification testing).

4.11. Verification

4.11.1 Design Verification

Confirmation through objective evidence that all design outputs meet requirements. It may include activities such as: design review, performing alternate calculations, understanding tests and demonstrations, and review of design stage documents before release.

4.11.2 Product Verification

The evaluation of a product's compliance to requirements, specifications, or physical conditions as related to the intended design. This is typically accomplished by testing and/or inspecting a product against its design requirements [i.e., First Article Inspection (FAI)].

5. REQUIREMENTS

5.1. PPAP File

The supplier shall assemble a PPAP file and submit to AR for approval. The file shall be subject to any record retention requirements that may be flowed in the PO. Records may be applicable to the supplier's sub-tier and if so, shall be obtained from the sub-tier for inclusion in the PPAP. The PPAP shall contain the following elements, unless modified per PO special instructions as noted in Section 2:

5.1.1. PPAP Approval Form

The supplier shall include a cover sheet that shall be used as a check list and a record of AR approval. The form is shown as Appendix B.

5.1.2. Design Records

The supplier shall include records that define the product and demonstrate the configuration of the design, which includes: A copy of the released production drawings or models (where supplier has design cognizance), Bills of Materials (BoMs), and a Controlled Document Notice (CDN) list if applicable.

Design records shall also include authorized changes (i.e. engineering orders, change notices, etc.), even if they are not yet incorporated into the released product definition.

5.1.3. Design Failure Modes and Effects Analysis (DFMEA)

The supplier shall include a design risk analysis related to product performance, fit, form, function, and durability. It shall, to the extent possible, assure that potential functional failure modes and their associated causes / mechanisms have been considered, prioritized, and addressed.

Any Key Characteristics (KCs) or Critical Items (CIs) identified as such in the DFMEA shall also be identified as such in the design records.

5.1.4. Process Flow Diagram

The supplier shall include a process flow diagram that clearly defines the production process steps and sequences from receipt of raw material to shipment of the item. Alternate process steps and/or planned rework steps should be included in the flow diagram.

5.1.5. Process Failure Modes and Effect Analysis (PFMEA)

The supplier shall include an analysis intended to recognize and evaluate the potential failure of a process and the effects of the failure. It shall identify mitigation plans that could eliminate or reduce the chance of the potential failure occurring.

The PFMEA shall be in accordance with SAE J1739 for the product and any subassemblies that are applicable.

The PFMEA shall identify any process KCs as a basis for selection of a process for which to create a control plan.

5.1.6. Control Plan

In order to manage process variation, the supplier shall include a control plan that lists the component and/or process characteristics agreed to jointly with AR that will be monitored during the manufacturing process along with any required control methods.

The control plan shall also conform to the requirements of Appendix A.

5.1.7. Measurement System Analysis (MSA)

The supplier shall include an analysis of the measurement process and equipment in order to quantify its variation and compare it to the engineering tolerance in the component definition.

The MSA shall be performed on the measurement methods identified in the control plan.

NOTE: Applicable MSA studies can be established using various methods [e.g., Gage Repeatability and Reproducibility (Gage R&R), repeatability study, measurement uncertainty analysis, attribute agreement analysis]. A study of measurement system bias is also required to confirm the measurement results are valid and should be included in the analysis.

NOTE: The supplier should demonstrate that all measurement methods and checking aids included in the control plan are suitable and capable.

Action plans are required when MSA results do not meet internal and/or AR acceptance criteria, minimum 20% precision to tolerance unless otherwise specified or agreed to.

5.1.8. Packaging and Preservation Approvals

The supplier shall provide objective evidence that the production intended packaging, preservation, and if applicable labeling meet AR requirements and obtain approval as required.

5.1.9. Customer Specific PPAP Requirements: Customer specified requirements not included in this Quality Note. The supplier shall include records of compliance for requested additional requirements in the PPAP file.

5.1.10. First Article Inspection Report

The supplier shall include an inspection report of a representative item from the first production run in accordance with AS9102.

5.2. Supplier Manufacturing Readiness Review (SMRR)

The supplier shall conduct an SMRR (or equivalent as determined by the AR customer) with AR to demonstrate that the process in the control plan is appropriately defined, documented, and ready for continuous production.

At a minimum, the review shall include applicable PPAP elements (Reference Figure 1). It shall include any other relevant manufacturing processes, equipment, operator training, and associated measurement tools.

5.3. Timeline

Though the supplier may have their own product realization phases or milestones outside the scope of this specification, it is important that the elements of the PPAP be developed in the proper order.

Figure 1 shows the PPAP elements in order relation to other PPAP elements and to supplier typical milestones. Because of their interdependencies, certain PPAP elements completed before other ones may be rejected by AR.

NOTE: The typical product development status timeline shown is an example and may differ than what the supplier chooses.

If the supplier has design cognizance over the product, the design records and DFMEA cannot be completed until after the design is released, typically at their Critical Design Review (CDR) or equivalent milestone.

Only after the design is locked down, as evidenced by the design records and DFMEA, can the process flow be determined, from which the PFMEA can be developed.

After the process risks are prioritized from the PFMEA, a control plan can be written and the MSA particular to that process can be performed.

When the first six aforementioned PPAP elements are complete (reference Elements 1-6 on the PPAP Approval Form, the production trials can be considered complete and the supplier will conduct an SMRR with AR.

Successful completion of an SMRR marks the approval to begin initial production, from which the first article can be inspected.

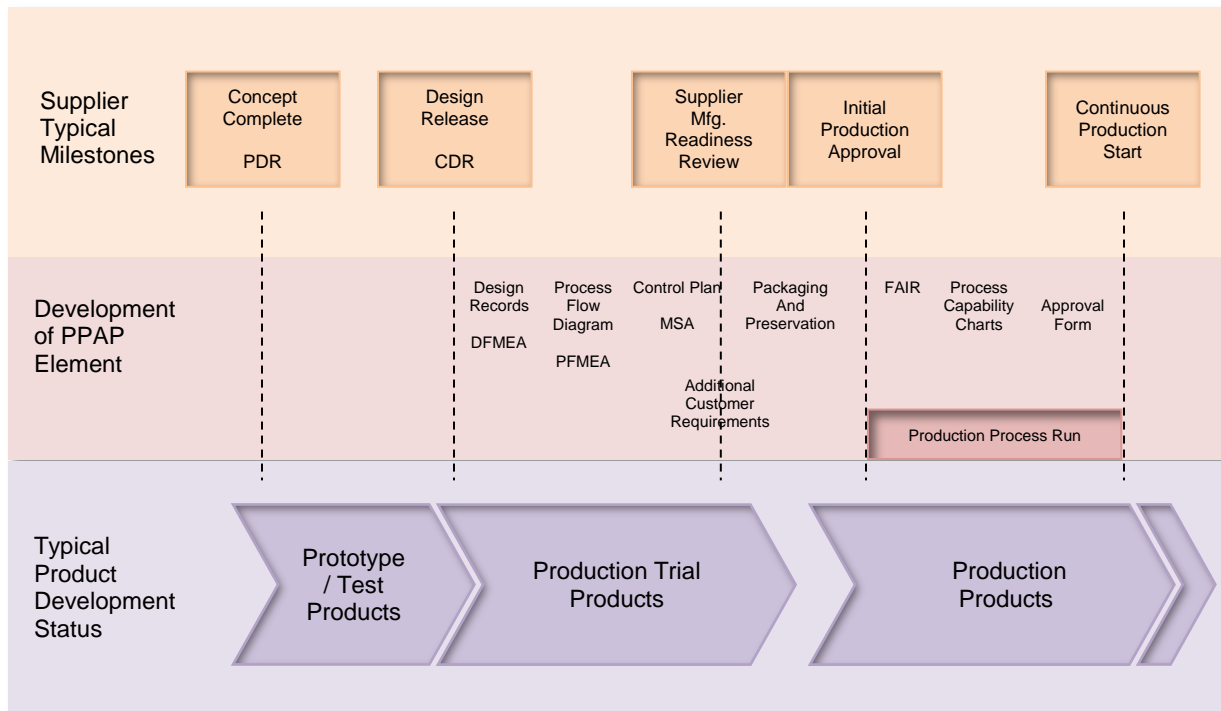


Figure 1 – PPAP Element Timeline

While the first, second and subsequent articles are being produced in the Production Process Run, their data can be collected and entered into the respective Process Capability Chart.

NOTE: This may require one or more production process runs.

After a statistically significant number of articles have been entered into the Process Capability Chart, the last approval forms can be entered and the PPAP compiled.

5.4. Supplier Review and Sign-Off

The supplier shall:

- Verify that all measurement and test results show conformance with AR requirements.
- Ensure all required documentation is available within the PPAP file.
- Review all applicable data for content, accuracy and process repeatability before submitting for approval.
- Upon a satisfactory internal review, complete a PPAP Approval Form (refer to Appendix B) and submit to AR for approval.

NOTE: Multiple PPAP approval forms may be required for one complete end item approval. The appropriate selection should be made on the PPAP Approval Form for a Full or Partial submission.

6. DISPOSITIONS

Upon review of the PPAP submittal, one of the following dispositions will be made by AR.

6.1. Approved

All PPAP requirements have been met. The supplier is authorized to ship product and may commence with continuous production

6.2. Interim Approved

All PPAP requirements have not been met; however, the supplier is authorized to ship product under the conditions/restrictions determined by AR. The supplier may proceed with continuous production and shipment of the product.

When known gaps in the PPAP submission requirements exist at the time of submission, the supplier shall provide a written plan for completion of all requirements.

6.3. Rejected

All PPAP requirements have not been met and the supplier is not authorized to continue production or ship product.

APPENDIX A – CONTROL PLAN

Description

The control plan details how product quality is controlled and confirmed during the manufacturing process. The control plan should be sufficiently detailed to clearly define who is responsible for completing the specified quality control tasks / activities at each stage of the process.

The supplier and AR shall agree on which process requires a control plan prior to execution.

The control plan should take into account the design records, process flow diagram, as well as the outputs from the DFMEA and PFMEA.

The control plan shall include and identify all product and process KCs and CIs defined by AR and the supplier.

Whereas a control plan typically applies to one component, in some cases control plans for component families may cover a number of similar components produced using a common process.

The control plan is a living document that is revised and updated throughout the life of the component in response to quality issues or component or process changes. The supplier shall review and update the control plan when these changes occur, in accordance with Section 2.1.

Contents

At a minimum, the control plan shall contain the following information:

1. Supplier name / site
2. Part number(s)
3. Part name/description
4. Engineering change level (i.e. revision level)
5. Process name/operation description
6. Operation/process step number
7. Control plan revision
8. Product or process characteristic description
9. Product or process spec limit / tolerance
10. Process control limits
11. Evaluation/measurement technique
12. Sample size and frequency
13. Process control method
14. Reaction plan



APPENDIX B – PPAP APPROVAL FORM

<h1>PPAP APPROVAL</h1>							
1. Part Number:		6. Additional Changes:					
2. Part Name:							
3. Part Revision Level:							
4. Drawing Number:		7. Customer Purchasing Representative:					
5. Drawing Revision Level:		8. Purchase Order Number:					
SUPPLIER INFORMATION							
9. Organization Name:				10. Supplier/Vendor Code:			
11. Address (Street, City, State, Country, Postal Code):					Country:		
12. Submission							
<input type="checkbox"/> Full Submission		<input type="checkbox"/> Initial Submission					
<input type="checkbox"/> Partial Submission		<input type="checkbox"/> Resubmission Reason: _____					
13a. PPAP ELEMENTS PROVIDED				13b. CUSTOMER PPAP ELEMENT ACCEPTANCE (Customer use only)			
Yes	No	N/A	ELEMENT DESCRIPTION	Yes	No	CUSTOMER COMMENTS	
<input type="checkbox"/>			1. Design Records	<input type="checkbox"/>	<input type="checkbox"/>		
<input type="checkbox"/>			2. Design Risk Analysis (e.g., DFMEA)	<input type="checkbox"/>	<input type="checkbox"/>		
<input type="checkbox"/>			3. Process Flow Diagram	<input type="checkbox"/>	<input type="checkbox"/>		
<input type="checkbox"/>			4. Process FMEA	<input type="checkbox"/>	<input type="checkbox"/>		
<input type="checkbox"/>			5. Control Plan	<input type="checkbox"/>	<input type="checkbox"/>		
<input type="checkbox"/>			6. Measurement System Analysis	<input type="checkbox"/>	<input type="checkbox"/>		
<input type="checkbox"/>			7. Initial Process Studies	<input type="checkbox"/>	<input type="checkbox"/>		
<input type="checkbox"/>			8. Packaging, Preservation, and Labelling Approvals	<input type="checkbox"/>	<input type="checkbox"/>		
<input type="checkbox"/>			9. First Article Inspection Report	<input type="checkbox"/>	<input type="checkbox"/>		
<input type="checkbox"/>			10. Customer Specific PPAP Requirements	<input type="checkbox"/>	<input type="checkbox"/>		
Notes: "No" selections in Section 13a require an Action Plan item documented in Section 14 below							
14. Action Plan						Element #	Target Date
I, the supplier's representative, submit this PPAP Approval Form as declaration of having met all applicable requirements of Aerojet Rocketdyne QN-M04 and any relevant special Instructions, except as noted above. I further certify that our production process meets all product delivery, engineering, and quality requirements. I understand that the approval of this form by AR does not release me from responsibility or liability for any non-conformances.							
Supplier Print Name and Sign		Title		Email Address		Date	
16. Aerojet Rocketdyne Use Only							
<input type="checkbox"/> Approved		<input type="checkbox"/> Interim Approval		<input type="checkbox"/> Rejected		<input type="checkbox"/> Maestro Supplier Code:	
Comments							
AR Approval: Clearly Print Name and Sign		Title		Email Address		Date	

Instructions to Complete Production Part Approval Process Approval Form

(R) Required: This is mandatory information; this field is shown in “**Bold**” font.

(CR) Conditionally Required: This field shall be completed (when applicable); this field is shown in **Bold Italic** font.

1. **(R) Part Number:** Number of the part.
2. **(R) Part Name:** Name of the part, as depicted on the engineering drawing.
3. **(CR) Part Revision Level:** Latest part revision for the part being submitted for PPAP approval. If there is no revision, indicate as such.

NOTE: The latest drawing revision level (see Field 5) does not always affect all parts contained on the engineering drawing.

4. **(CR) Drawing Number:** Drawing number associated with the PPAP part.
5. **(CR) Drawing Revision Level:** The revision level of the engineering drawing. If there is no revision, indicate as such.
6. **(CR) Additional Changes (pending Engineering changes):** Provide reference number(s) of any changes that are incorporated in the product, but not reflected in referenced drawing/part revision level (e.g., change in design, engineering changes, deviation or exclusion from certain drawing requirement).
7. **(CR) Customer Purchasing Representative:** Provide the name of the customer’s purchasing representative.
8. **(CR) Purchase Order Number:** Provide the customer purchase order number, if applicable.
9. **(R) Organization Name:** Provide the name of the organization making this PPAP submission.
10. **(CR) Supplier/Vendor Code:** Provide the unique number given by the customer to the organization. It is sometimes referred to as vendor code, vendor identification number, supplier number, etc.
11. **(R) Address (Street, City, State, Country, Postal Code):** Provide the complete address of the location where the product was produced.
12. **(R) Submission:** Identify the type of submission (i.e., full, partial, initial, resubmission) and indicate the reason for PPAP submission.
- 13a. **(R) PPAP Elements Provided:** Indicate supporting content provided with the PPAP submission.

- Check “Yes” – If PPAP element is included.
- Check “No” – If PPAP element is not included.
- Check “N/A” – If element is not applicable (may require customer approval) or element was approved on a previous submission.

- 13b. (R) **Customer PPAP Element Acceptance** (Customer use only): Customer indicates results of their PPAP element evaluation.
14. (CR) **Action Plan:** Provide visibility of associated actions items with supporting target dates required for full PPAP approval.
15. (R) **Declaration:** The responsible official from the producing organization accepts this declaration by providing their name, signature, title, e-mail address, and date.
13. (R) **Customer Use Only: Customer or delegated authorized approver indicates acceptance of the PPAP elements and provides a disposition (i.e., approved, interim approval, rejected) of the PPAP submission and provides disposition comments, as appropriate. The authorized approver provides their name, signature, title, e-mail address, and the date of the decision.**

APPENDIX C - ACRONYMS

AR	Aerojet Rocketdyne
BOM	Bill of Material
CI	Critical Item
CDN	Controlled Document Notice
CDR	Critical Design Review
COTS	Commercial Off-the-Shelf
Cpk	Process Capability Index
DFMEA	Design Failure Modes and Effects Analysis
FAI	First Article Inspection
FAIR	First Article Inspection Report
FMEA	Failure Modes and Effects Analysis
Gage R&R	Gage Repeatability and Reproducibility
KC	Key Characteristic
MSA	Measurement Systems Analysis
PDR	Preliminary Design Review
PFMEA	Process Failure Modes and Effects Analysis
PPAP	Production Part Approval Process
Ppk	Process Performance Index
PO	Purchase Order
R&D	Research and Development
SMRR	Supplier Manufacturing Readiness Review

REVISION HISTORY:

12/13/2016	Updated to include Customer PPAP Requirements and Advanced Product Quality Planning (APQP) and Aerospace Industry Quality Group (AIQG) reference information to the Supply Chain Management Handbook (SCMH) as it pertains to preparing of the PPAP submission.
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This document is an integral part of the contract (purchase order) in which referenced.
Applicable Revision: The revision in effect at the time the purchase order is placed.