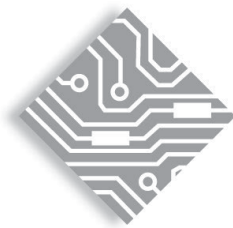


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QUALITY MANUAL



PROXY
MANUFACTURING, INC

ISO 9001:2015/AS9100D

**Quality Management
System**

Revision History

Date	Change Notice	Change Description
7/17/2019	Original	Original Release of ISO 9001:2015/AS9100D

Approvals:

Kathleen Dugas

President and CFO

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Introduction

Proxy Manufacturing, Inc. Manufacturing, Inc. is committed to providing its customers, the finest quality products in the electronic industry by utilizing the highest quality standards, workmanship standards, and technical manufacturing processes available. Proxy Manufacturing, Inc. also strives for continued strategic partnerships with our customers and suppliers to remain the preferred innovative producer of assemblies, resulting in sustained growth and profitability.

President | CFO, Kathleen Dugas

Proxy Manufacturing, Inc. Manufacturing, Inc. is an Electronic Contract Manufacturer servicing Massachusetts, New England, and the United States since 1988. Proxy Manufacturing, Inc. has a 30-year track record of delivering high quality, being competitive, and being easy to do business with. The Proxy Manufacturing, Inc. team strives to be an extension of our customers manufacturing, materials, and quality functions.

Proxy Manufacturing, Inc.

55 Chase Street

Methuen, MA 01844



Phone: 978-687-3138



Fax: 978-794-8635

www.Proxyinc.com

This Quality Manual specifies requirements that Proxy Manufacturing, Inc. uses to address customer satisfaction, to meet customer and applicable regulatory and statutory requirements and to meet ISO 9001:2015/AS9100D requirements, and is supported by additional procedures where necessary. The quality management principles stated in ISO 9000, and ISO 9004, have been taken into consideration during the development of this Quality Policy Manual.

This Quality Manual specifies the general requirements for Proxy Manufacturing, Inc. competence towards a management system for quality, administrative and technical operations.

1 Scope

This Quality manual includes ISO 9001:2015/AS9100D quality management system requirements and specifies additional aviation, space, and defense industry requirements, definitions, and notes.

It is emphasized that the requirements specified in this standard are complementary (not alternative) to customer and applicable statutory and regulatory requirements.

If there is a conflict between the requirements of this standard and customer or applicable statutory or regulatory requirements, the latter shall take precedence.

This Quality Manual specifies requirements for a quality management system where Proxy Manufacturing, Inc.:

- a) Needs to demonstrate its ability to consistently provide product and services that meet customer and applicable statutory and regulatory requirements, and
- b) Aims to enhance customer satisfaction through the effective application of the system, including processes for improvement of the system and the assurance of conformity to customer and applicable statutory and regulatory requirements.

2 Normative References

The following documents, in whole or in part, are normatively referenced in this document and are indispensable for its application. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

ISO9000:2015 Quality management systems — Fundamentals and vocabulary

ISO9001:2015 Quality management systems – Requirements

AS9100D Quality Management Systems Requirements for Aviation, Space and Defense Organizations

AS9101F Quality Management Systems Audit Requirements for Aviation, Space and Defense Organizations

3 Terms and Definitions

For the purposes of this document, the terms and definitions given in ISO 9000:2015 and the following apply.

3.1 Counterfeit Part

An unauthorized copy, imitation, substitute, or modified part (e.g., material, part, component), which is knowingly misrepresented as a specified genuine part of an original or authorized manufacturer.

3.2 Critical Items

Those items (e.g., functions, parts, software, characteristics, processes) having significant effect on the provision and use of the products and services; including safety, performance, form, fit, function, producibility, service life, etc.; that require specific actions to ensure they are adequately managed. Examples of critical items include safety critical items, fracture critical items, mission critical items, key characteristics, etc.

3.3 Key Characteristic

An attribute or feature whose variation has a significant effect on product fit, form, function, performance, service life, or producibility, that requires specific actions for the purpose of controlling variation.

3.4 Product Safety

The state in which a product is able to perform to its designed or intended purpose without causing unacceptable risk of harm to persons or damage to property.

3.5 Special Requirements

Those requirements identified by the customer, or determined by the organization, which have high risks of not being met, thus requiring their inclusion in the operational risk management process. Factors used in the determination of special requirements include product or process complexity, past experience, and product or process maturity. Examples of special requirements include performance requirements imposed by the customer that are at the limit of the industry's capability, or requirements determined by the organization to be at the limit of its technical or process capabilities.

4 Context of the Organization

4.1 Understanding the Organization and its Context

Proxy Manufacturing, Inc. has determined external and internal issues that are relevant to its purpose and its strategic direction and that affect its ability to achieve the intended result(s) of its quality management system.

Proxy Manufacturing, Inc. monitors and reviews information about these external and internal issues.

4.2 Understanding the Needs and Expectations of Interested Parties

Due to their effect or potential effect on Proxy Manufacturing, Inc.'s ability to consistently provide products and services that meet customer and applicable statutory and regulatory requirements, Proxy Manufacturing, Inc. determined:

- a) The interested parties that relevant to the quality management system;
- b) The requirements of these interested parties that are relevant to the quality management system.

Proxy Manufacturing, Inc. monitors and reviews the information about these interested parties and their relevant requirements.

4.3 Determining the Scope of the Quality Management System

Proxy Manufacturing, Inc. has determined the boundaries and applicability of the quality management system to establish its scope.

When determining this scope, Proxy Manufacturing, Inc. considered:

- a) The external and internal issues referred to in [4.1](#);
- b) The requirements of relevant interested parties referred to in [4.2](#);
- c) **The products and services of Proxy Manufacturing, Inc.**

Proxy Manufacturing, Inc. applies all the requirements of this International Standard if they are applicable within the determined scope of its quality management system.

The scope of Proxy Manufacturing, Inc.'s quality management system is available and maintained as documented information. The scope states the types of products and services covered, and

provides justification for any requirements that Proxy Manufacturing, Inc. has determined is not applicable to the scope of its quality management system.

Conformity to this international standard are only claimed if the requirements determined as not being applicable do not affect Proxy Manufacturing, Inc.'s ability to ensure the conformity of its product and services and the enhancement of customer satisfaction.

Scope of Registration

The Scope associated with Proxy Manufacturing, Inc. activities and registration is:

Proxy Manufacturing Inc. is an electronic contract assembly manufacturer, specializing in Surface Mount, Thru-Hole, and Electro-Mechanical assembly technologies.

4.4 Quality Management System and its Processes

- 4.4.1 Proxy Manufacturing, Inc. has established, implemented, maintains, and continually improves a quality management system, including the processes needed and their interactions, in accordance with the requirements of this International Standard.

The organization's quality management system shall also address customer and applicable statutory and regulatory quality management system requirements.

Proxy Manufacturing, Inc. has determined the processes needed for the quality management system and their application throughout Proxy Manufacturing, Inc., and

- a) Determined the inputs required and the outputs expected from these processes;
 - b) Determined the sequence and interaction of these processes;
 - c) Determined and applied the criteria and methods (including monitoring, measurements and related performance indicators) needed to ensure the effective operation and control of these processes;
 - d) Determined the resources needed for these processes and ensure their availability;
 - e) Assigns the responsibilities and authorities for these processes;
 - f) Addresses the risks and opportunities as determined in accordance with the requirements of [6.1](#);
 - g) Evaluates these processes and implement any changes needed to ensure that these processes achieve their intended results.
 - h) Improves the processes and the quality management system.
- 4.4.2 To the extent necessary, Proxy Manufacturing, Inc.:
- a) Maintains documented information to support the operation of its processes (See [procedure list](#));

- b) Retain documented information to have confidence that the processes are being carried out as planned (See [Records Table](#)).

Proxy Manufacturing, Inc. will establish and maintain documented information that includes:

- a general description of relevant interested parties (see 4.2 a);
- the scope of the quality management system, including boundaries and applicability (see 4.3);
- a description of the processes needed for the quality management system and their application throughout the organization;
- the sequence and interaction of these processes;
- assignment of the responsibilities and authorities for these processes.

5 Leadership

5.1 Leadership and Commitment

5.1.1 General

Top management demonstrates leadership and commitment with respect to the quality management system by:

- a) Taking accountability for the effectiveness of the quality management system;
- b) Ensuring that the quality policy and quality objectiveness are established for the quality management system and are compatible with the context and strategic direction of Proxy Manufacturing, Inc.;
- c) Ensuring the integration of the quality management system requirements into Proxy Manufacturing, Inc.'s business process;
- d) Promoting the use of the process approach and risk-based thinking;
- e) Ensuring that the resources needed for the quality management system are available;
- f) Communicating the importance of effective quality management and of conforming to the quality management system requirements;
- g) Ensuring that the quality management system achieves its intended results;
- h) Engaging, directing and supporting persons to contribute to the effectiveness of the quality management system;
- i) Promoting improvement; and
- j) Supporting other relevant management roles to demonstrate their leadership as it applies to their areas of responsibility.

5.1.2 Customer Focus

Top management demonstrates leadership and commitment with respect to customer focus by ensuring that:

- a) Customer and applicable statutory and regulatory requirements are determined, understood and consistently met;
- b) The risks and opportunities that can affect conformity of products and services and the ability to enhance customer satisfaction are determined and addressed;
- c) The focus on enhancing customer satisfaction is maintained.
- d) **product and service conformity and on-time delivery performance are measured and appropriate action is taken if planned results are not, or will not be, achieved.**

5.2 Policy

5.2.1 Developing the Quality Policy

Top management has established, implemented and maintains a quality policy that:

- a) Is appropriate to the purpose and context of Proxy Manufacturing, Inc. and supports its strategic direction;
- b) Provides a framework for setting quality objectives;
- c) Includes a commitment to satisfy applicable requirements; and
- d) Includes a commitment to continual improvement of the quality management system.

5.2.2 Communicating the Quality Policy

The Quality Policy:

- a) is available and maintained as documented information;
- b) is communicated, understood and applied within the organization; and
- c) is available to relevant interested parties, as appropriate.

Quality Policy:

It is the policy of Proxy Manufacturing, Inc., to deliver products with the finest quality workmanship through continuous improvement using effective, compliant quality management systems to achieve the highest customer satisfaction.

5.3 Organizational Roles, Responsibilities, and Authorities

Top management ensures that the responsibilities and authorities for relevant roles are assigned, communicated and understood within Proxy Manufacturing, Inc..

Top management assigns the responsibility and authority for:

- a) Ensuring that the quality management system conforms to the requirements of this International Standard;

- b) Ensuring that the processes are delivering their intended outputs;
- c) Reporting on the performance of the quality management system and on opportunities for improvement (see [10.1](#)), in particular to top management;
- d) Ensuring the promotion of customer focus throughout Proxy Manufacturing, Inc.; and
- e) Ensuring that the integrity of the quality management system is maintained when changes to the quality management system are planned and implemented.

Top management appoints a specific member of the organization's management, identified as the management representative, who shall have the responsibility and authority for oversight of the above requirements.

The management representative shall have the organizational freedom and unrestricted access to top management to resolve quality management issues.

6 Planning

6.1 Actions to Address Risks and Opportunities

- 6.1.1 When planning for the quality management system, Proxy Manufacturing, Inc. considered the issues referred to in [4.1](#) and the requirements referred to in [4.2](#) and determined the risks and opportunities that need to be addressed to:
- a) Give assurance that the quality management system can achieve its intended results;
 - b) Enhance desirable effects;
 - c) Prevent, or reduce, undesired effects; and
 - d) Achieve improvement.
- 6.1.2 Proxy Manufacturing, Inc. plans:
- a) Actions to address these risks and opportunities;
 - b) How to:
 1. Integrate and implement the actions into its quality management system processes (See [4.4](#))
 2. Evaluate the effectiveness of these actions.

Actions taken to address risks and opportunities are proportionate to the potential impact on the conformity of products and services.

6.2 Quality Objectives and Planning to Achieve Them

- 6.2.1 Proxy Manufacturing, Inc. has established quality objectives at relevant functions, levels and processes needed for the quality management system.

The quality objectives are:

- a) Consistent with the quality policy;

- b) Measurable;
- c) Taken into account applicable requirements;
- d) Relevant to conformity of products and services and to enhancement of customer satisfaction;
- e) Monitored;
- f) Communicated; and
- g) Updated as appropriate.

Proxy Manufacturing, Inc. maintains documented information on the quality objectives. [\(dashboard\)](#)

6.2.2 When planning how to achieve its quality objectives, Proxy Manufacturing, Inc. has determined:

- a) What will be done;
- b) What resources will be required;
- c) Who will be responsible;
- d) When it will be completed; and
- e) How the results will be evaluated.

6.3 Planning of Changes

When Proxy Manufacturing, Inc. determines the need for changes to the quality management system, the changes are carried out in a planned manner (see [4.4](#)).

Proxy Manufacturing, Inc. considers:

- a) The purpose of the changes and their potential consequences;
- b) The integrity of the quality management system;
- c) The availability of resources; and
- d) The allocation or reallocation of responsibilities and authorities.

7 Support

7.1 Resources

7.1.1 General

Proxy Manufacturing, Inc. determines and provides the resources needed for the establishment, implementation, maintenance and continual improvement of the quality management system.

Proxy Manufacturing, Inc. considers:

- a) The capabilities of, and constraints on, existing internal resources; and
- b) What needs to be obtained from the external providers.

7.1.2 People

Proxy Manufacturing, Inc. determines and provides the persons necessary for the effective implementation of its quality management system and for the operation and control of its processes.

7.1.3 Infrastructure

Proxy Manufacturing, Inc. determines, provides, and maintains the environment necessary for the operation of its processes and to achieve conformity of products and services.

- a) Buildings and associated utilities;
- b) Equipment, including hardware and software;
- c) Transportation resources; and
- d) Information and communication technology.

7.1.4 Environment for the Operation of Processes

Proxy Manufacturing, Inc. determines, provides and maintains the environment necessary for the operation of its processes and to achieve conformity of products and services.

- a) Social (e.g. non-discriminatory, calm, non-confrontational);
- b) Psychological (e.g. stress reducing, burnout prevention, emotionally protective);
- c) Physical (e.g. temperature, heat, humidity, light, airflow, hygiene, noise).

These factors can differ substantially depending on the products and services provided.

7.1.5 Monitoring and Measuring Resources

7.1.5.1 General

Proxy Manufacturing, Inc. determines and provides the resources needed to ensure valid and reliable results when monitoring or measuring is used to verify the conformity of products and services to requirements.

Proxy Manufacturing, Inc. ensures that the resources provided:

- a) Are suitable for the specific type of monitoring and measurement activities being undertaken; and
- b) Are maintained to ensure their continuing fitness for their purpose.

Proxy Manufacturing, Inc. retains appropriate documented information as evidence of fitness for purpose of the monitoring and measurement resources.

7.1.5.2 Measurement Traceability

When measurement traceability is a requirement, or is considered by Proxy Manufacturing, Inc. to be an essential part of providing confidence in the validity of measurement results, measuring equipment are:

- a) Calibrated or verified, or both, at specified intervals, or prior to use, against measurement standards traceable to international or national measurement standards; when no such

standard exists, the basis used for calibration or verification is retained as documented information;

- b) Identified in order to determine their status; and
- c) Safeguarded from adjustments, damage or deterioration that would invalidate the calibration status and subsequent measurement results.

The organization establishes, implements, and maintains a process for the recall of monitoring and measuring equipment requiring calibration or verification.

The organization will maintain a register of the monitoring and measuring equipment. The register will include the equipment type, unique identification, location, and the calibration or verification method, frequency, and acceptance criteria.

Calibration or verification of monitoring and measuring equipment will be carried out under suitable environmental conditions (see 7.1.4).

Proxy Manufacturing, Inc. determines if the validity of previous measurement results has been adversely affected when measuring equipment is found to be unfit for its intended purpose, and takes appropriate action as necessary.

7.1.6 Organizational Knowledge

Proxy Manufacturing, Inc. determines the knowledge necessary for the operation of its processes and to achieve conformity of products and services.

This knowledge is maintained and made available to the extent necessary.

When addressing changing needs and trends, Proxy Manufacturing, Inc. considers its current knowledge and determines how to acquire or access any necessary additional knowledge and required updates.

7.2 Competence

Proxy Manufacturing, Inc.:

- a) Determines the competence of person(s) doing work under its control that affects the performance and effectiveness of the quality management system;
- b) Ensures that these persons are competent on the basis of appropriate education, training, or experience;
- c) Where applicable, take actions to acquire the necessary competence, and evaluate the effectiveness of the actions taken; and
- d) Retain appropriate documented information as evidence of competence.

NOTE: Consideration should be given for the periodic review of the necessary competence.

7.3 Awareness

Proxy Manufacturing, Inc. ensures that persons doing work under the Proxy Manufacturing, Inc.'s control are aware of:

- a) The quality policy;
- b) Relevant quality objectives;
- c) Their contribution to the effectiveness of the quality management system, including the benefits of improved performance;
- d) The implication of not conforming with the quality management system requirements.
- e) **relevant quality management system documented information and changes thereto;**
- f) **their contribution to product or service conformity;**
- g) **their contribution to product safety;**
- h) **the importance of ethical behavior**

7.4 Communication

Proxy Manufacturing, Inc. determined the internal and external communications relevant to the quality management system, including:

- a) On what it will communicate;
- b) When to communicate;
- c) With whom to communicate;
- d) How to communicate; and
- e) Who communicates.

7.5 Documented Information

7.5.1 General

Proxy Manufacturing, Inc.'s quality management system includes:

- a) Documented information required by ISO 9001:2015/AS9100D; and
- b) Documented information determined by Proxy Manufacturing, Inc. as being necessary for the effectiveness of the quality management system.

7.5.2 Creating and Updating

When creating an updating documented information, Proxy Manufacturing, Inc. ensures appropriate:

- a) Identification and description (e.g. title, date, author, or reference number);
- b) Format (e.g. language, software version, graphics) and media (e.g. paper, electronic); and
- c) Review and approval for suitability and adequacy.

7.5.3 Control of Documented Information

7.5.3.1 Documented information required by the quality management system and by ISO 9001:2015/AS9100D are controlled to ensure:

- a) Availability and suitable for use, where and when it is needed; and
- b) It is adequately protected (e.g. from loss of confidentiality, improper use, or loss of integrity).

7.5.3.2 For the control of documented information, Proxy Manufacturing, Inc. has addressed the following activities, as applicable.

- a) Distribution, access, retrieval and use;
- b) Storage and preservation, including preservation of legibility;
- c) Control of changes (e.g. version control); and
- d) Retention and disposition.
- e) **prevention of the unintended use of obsolete documented information by removal or by application of suitable identification or controls if kept for any purpose.**

Documented information of external origin determined by Proxy Manufacturing, Inc. to be necessary for the planning and operation of the quality management system is identified as appropriate and controlled.

Documented information retained as evidence of conformity are protected from unintended alterations.

When documented information is managed electronically, data protection processes shall be defined (e.g., protection from loss, unauthorized changes, unintended alteration, corruption, physical damage).

8 Operation

8.1 Operational Planning and Control

Proxy Manufacturing, Inc. planned, implemented and controls the processes (see [4.4](#)) needed to meet the requirements for the provision of products and services, and implemented the actions determined in [Clause 6](#), by:

- a) Determining the requirements for the products and services;
- b) Establishing criteria for:
 - 1. The processes;
 - 2. The acceptance of products and services;
- c) Determining the resources needed to achieve conformity to the product and service requirements and to meet on-time delivery of products and services
- d) Implementing control of the processes in accordance with the criteria; and
- e) Determining and keeping documented information to the extent necessary:
 - 1. To have confidence that the processes have been carried out as planned;
 - 2. To demonstrate the conformity of products and services to their requirements.

- f) **determining the processes and controls needed to manage critical items, including production process controls when key characteristics have been identified;**
- g) **engaging representatives of affected organization functions for operational planning and control;**
- h) **determining the process and resources to support the use and maintenance of the products and services;**
- i) **determining the products and services to be obtained from external providers;**
- j) **establishing the controls needed to prevent the delivery of nonconforming products and services to the customer.**

The output of this planning is in a form suitable to Proxy Manufacturing, Inc.'s method of operations.

Proxy Manufacturing, Inc. ensures that outsourced processes are controlled (See [8.4](#)).

Proxy Manufacturing, Inc. will establish, implement, and maintain a process to plan and control the temporary or permanent transfer of work, to ensure the continuing conformity of the work to requirements. The process shall ensure that work transfer impacts and risks are managed.

8.1.1 Operational Risk Management

Proxy Manufacturing, Inc. will plan, implement, and control a process for managing operational risks to the achievement of applicable requirements, which includes as appropriate to the organization and the products and services:

- a) **assignment of responsibilities for operational risk management;**
- b) **definition of risk assessment criteria (e.g., likelihood, consequences, risk acceptance);**
- c) **identification, assessment, and communication of risks throughout operations;**
- d) **identification, implementation, and management of actions to mitigate risks that exceed the defined risk acceptance criteria;**
- e) **acceptance of risks remaining after implementation of mitigating actions.**

8.1.2 Configuration Management

Proxy Manufacturing, Inc. will plan, implement, and control a process for configuration management as appropriate to the organization and its products and services in order to ensure the identification and control of physical and functional attributes throughout the product lifecycle. This process shall:

- a) **control product identity and traceability to requirements, including the implementation of identified changes;**
- b) **ensure that the documented information (e.g., requirements, design, verification, validation and acceptance documentation) is consistent with the actual attributes of the products and services.**

8.1.3 Product Safety

Proxy Manufacturing, Inc. will plan, implement, and control the processes needed to assure product safety during the entire product life cycle, as appropriate to the organization and the product.

8.1.4 Prevention of Counterfeit Parts

Proxy Manufacturing, Inc. will plan, implement, and control processes, appropriate to the organization and the product, for the prevention of counterfeit or suspect counterfeit part use and their inclusion in product(s) delivered to the customer.

8.2 Requirements for Products and Services

8.2.1 Customer Communication

Communication with Customers includes:

- a) Providing information relating to products and services;
- b) Handling inquiries, contracts or orders, including changes;
- c) Obtaining customer feedback relating to products and services, including customer complaints;
- d) Handling or controlling customer property; and
- e) Establishing specific requirements for contingency actions, when relevant.

8.2.2 Determining the Requirements Related to Products and Services

When determining the requirements for the product and services to be offered to customers, Proxy Manufacturing, Inc. ensures that:

- a) The requirements for the product and services are defined, including:
 1. Any applicable statutory and regulatory requirements;
 2. Those considered necessary by Proxy Manufacturing, Inc.;
- b) Proxy Manufacturing, Inc. can meet the claims for the product and services it offers.
- c) **special requirements of the products and services are determined;**
- d) **operational risks (e.g., new technology, ability and capacity to provide, short delivery time frame) have been identified.**

8.2.3 Review of Requirements Related to Products and Services

8.2.3.1 Proxy Manufacturing, Inc. ensures that it has the ability to meet the requirements for products and services offered to customers. Proxy Manufacturing, Inc. conducts a review before committing to supply products and services to a customer, to include:

- a) Requirements specified by customer, including the requirements for delivery and post-delivery activities;
- b) Requirements not stated by the customer, but necessary for the specified intended use, when known;

- c) Requirements specified by Proxy Manufacturing, Inc.;
- d) Statutory and regulatory requirements applicable to the products and services; and
- e) Contract or order requirements differing from those previously expressed.

This review shall be coordinated with applicable functions of the organization.

If upon review the organization determines that some customer requirements cannot be met or can only partially be met, Proxy Manufacturing, Inc. will negotiate a mutually acceptable requirement with the customer.

Proxy Manufacturing, Inc. ensures that the contract or order requirements differing from those previously defined are resolved.

The customer's requirements are confirmed by Proxy Manufacturing, Inc. before acceptance, when the customer does not provide a documented statement of their requirements.

8.2.3.2 Proxy Manufacturing, Inc. retains documented information, as applicable:

- a) On the results of the review; and
- b) On any new requirements for the products and services;

8.2.4 Changes to Requirements for Products and Services

Proxy Manufacturing, Inc. ensures that relevant documented information is amended, and that relevant persons are made aware of the changed requirements, when the requirements for products and services are changed.

8.3 Design and Development of Products and Services

8.3.1 General

Proxy Manufacturing, Inc. claims an exclusion to design and development (See [P-018](#)).

8.4 Control of Externally Provided Processes, Products, and Services

8.4.1 General

Proxy Manufacturing, Inc. ensures that externally provided processes, products, and services conform to requirements.

Proxy Manufacturing, Inc. will be responsible for the conformity of all externally provided processes, products, and services, including from sources defined by the customer.

Proxy Manufacturing, Inc. will ensure, when required, that customer-designated or approved external providers, including process sources (e.g., special processes), are used.

Proxy Manufacturing, Inc. will identify and manage the risks associated with the external provision of processes, products, and services, as well as the selection and use of external providers.

Proxy Manufacturing, Inc. will require that external providers apply appropriate controls to their direct and sub-tier external providers, to ensure that requirements are met.

Proxy Manufacturing, Inc. determines the control applied to externally provided processes, products, and services when:

- a) Products and services from external providers are intended for incorporation into Proxy Manufacturing, Inc.'s own products and services;
- b) Products and services are provided directly to the customer(s) by external providers on behalf of Proxy Manufacturing, Inc.; and
- c) A process, or part of a process, is provided by an external provider as a result of a decision by Proxy Manufacturing, Inc..

Proxy Manufacturing, Inc. determines and applies criteria for the evaluation, selection, monitoring of performance, and re-evaluation of external providers, based on their ability to provide processes or products and services in accordance with requirements. Proxy Manufacturing, Inc. retains documented information of these activities and any necessary actions arising from the evaluations.

8.4.1.1 Proxy Manufacturing, Inc. will:

- a) **define the process, responsibilities, and authority for the approval status decision, changes of the approval status, and conditions for a controlled use of external providers depending on their approval status;**
- b) **maintain a register of its external providers that includes approval status (e.g., approved, conditional, disapproved) and the scope of the approval (e.g., product type, process family);**
- c) **periodically review external provider performance including process, product and service conformity, and on- time delivery performance;**
- d) **define the necessary actions to take when dealing with external providers that do not meet requirements;**
- e) **define the requirements for controlling documented information created by and/or retained by external providers.**

8.4.2 Type of Extent Control

Proxy Manufacturing, Inc. ensures that externally provided processes, products and services do not adversely affect Proxy Manufacturing, Inc.'s ability to consistently deliver conforming products and services to its customers.

Proxy Manufacturing, Inc.:

- a) Ensures that externally provided processes remain within the control of its quality management system;
- b) Defines both the controls that it intends to apply to an external provider and those it intends to apply to the resulting output;

- c) Takes into consideration:
 - 1. The potential impact of the externally provided processes, products and services on Proxy Manufacturing, Inc.'s ability to consistently meet customer and applicable statutory and regulatory requirements;
 - 2. The effectiveness of the controls applied by the external provider;
 - 3. **the results of the periodic review of external provider performance (see 8.4.1.1 c);**
- d) Determines the verification, or other activities, necessary to ensure that the externally provided processes, products and services meet requirements.

Verification activities of externally provided processes, products, and services shall be performed according to the risks identified by the organization. These shall include inspection or periodic testing, as applicable, when there is high risk of nonconformities including counterfeit parts.

When externally provided product is released for production use pending completion of all required verification activities, it shall be identified and recorded to allow recall and replacement if it is subsequently found that the product does not meet requirements.

When the organization delegates verification activities to the external provider, the scope and requirements for delegation shall be defined and a register of delegations shall be maintained. The organization shall periodically monitor the external provider's delegated verification activities.

When external provider test reports are utilized to verify externally provided products, the organization shall implement a process to evaluate the data in the test reports to confirm that the product meets requirements. When a customer or organization has identified raw material as a significant operational risk (e.g., critical items), the organization shall implement a process to validate the accuracy of test reports

8.4.3 Information for External Providers

Proxy Manufacturing, Inc. ensures the adequacy of requirements prior to their communication to the external provider.

Proxy Manufacturing, Inc. communicates to external providers its requirements for:

- a) The processes, products and services to be provided **including the identification of relevant technical data (e.g., specifications, drawings, process requirements, work instructions);**
- b) The approval of:
 - 1. Products and services;
 - 2. Methods, processes and equipment;
 - 3. The release of products and services;
- c) Competence, including any required qualification of persons;

- d) The external providers' interactions with Proxy Manufacturing, Inc.;
- e) Control and monitoring of the external providers' performance to be applied by Proxy Manufacturing, Inc.; and
- f) Verification or validation activities that Proxy Manufacturing, Inc., or its customer, intends to perform at the external providers' premises.
- g) **design and development control;**
- h) **special requirements, critical items, or key characteristics;**
- i) **test, inspection, and verification (including production process verification);**
- j) **the use of statistical techniques for product acceptance and related instructions for acceptance by the organization;**
- k) **the need to:**
 - **implement a quality management system;**
 - **use customer-designated or approved external providers, including process sources (e.g., special processes);**
 - **notify the organization of nonconforming processes, products, or services and obtain approval for their disposition;**
 - **prevent the use of counterfeit parts (see 8.1.4);**
 - **notify the organization of changes to processes, products, or services, including changes of their external providers or location of manufacture, and obtain the organization's approval;**
 - **flow down to external providers applicable requirements including customer requirements;**
 - **provide test specimens for design approval, inspection/verification, investigation, or auditing;**
 - **retain documented information, including retention periods and disposition requirements;**
- l) **the right of access by the organization, their customer, and regulatory authorities to the applicable areas of facilities and to applicable documented information, at any level of the supply chain;**
- m) **ensuring that persons are aware of:**
 - **their contribution to product or service conformity;**
 - **their contribution to product safety;**
 - **the importance of ethical behavior.**

8.5 Production and Service Provision

8.5.1 Control of Production and Service Provision

Proxy Manufacturing, Inc. implements production and service provision under controlled conditions.

Controlled conditions include, as applicable:

- a) The availability of documented information that defines:
 1. The characteristics of the products to be produced, the services to be provided, or the activities to be performed;

2. The results to be achieved;
- b) The availability and use of suitable monitoring and measuring resources;
 - c) The implementation of monitoring and measurement activities at appropriate stages to verify that criteria for control of processes or outputs, and acceptance criteria for products **and services have been met;**
 1. **ensuring that documented information for monitoring and measurement activity for product acceptance includes:**
 - **criteria for acceptance and rejection;**
 - **where in the sequence verification operations are to be performed;**
 - **measurement results to be retained (at a minimum an indication of acceptance or rejection);**
 - **any specific monitoring and measurement equipment required and instructions associated with their use;**
 2. **ensuring that when sampling is used as a means of product acceptance, the sampling plan is justified on the basis of recognized statistical principles and appropriate for use (i.e., matching the sampling plan to the criticality of the product and to the process capability).**
 - d) The use of suitable infrastructure and environment for the operation of processes;
 - e) The appointment of competent persons, including any required qualification;
 - f) The validation and periodic revalidation, of the ability to achieve planned results of the processes for production and service provision, where the resulting output cannot be verified by subsequent monitoring or measurement;
 - g) The implementation of actions to prevent human error;
 - h) The implementation of release, delivery and post-delivery activities;
 - i) **The establishment of criteria for workmanship (e.g., written standards, representative samples, illustrations);**
 - j) **The accountability for all products during production (e.g., parts quantities, split orders, nonconforming product);**
 - k) **The control and monitoring of identified critical items, including key characteristics, in accordance with established processes;**
 - l) **The determination of methods to measure variable data (e.g., tooling, on-machine probing, inspection equipment);**
 - m) **The identification of in-process inspection/verification points when adequate verification of conformity cannot be performed at later stages;**
 - n) **The availability of evidence that all production and inspection/verification operations have been completed as planned, or as otherwise documented and authorized;**
 - o) **The provision for the prevention, detection, and removal of foreign objects;**
 - p) **The control and monitoring of utilities and supplies (e.g., water, compressed air, electricity, chemical products) to the extent they affect conformity to product requirements (see 7.1.3);**
-

- q) The identification and recording of products released for subsequent production use pending completion of all required measuring and monitoring activities, to allow recall and replacement if it is later found that the product does not meet requirements.

8.5.1.1 Control of Equipment, Tools, and Software Programs

Equipment, tools, and software programs used to automate, control, monitor, or measure production processes shall be validated prior to final release for production and shall be maintained.

Storage requirements shall be defined for production equipment or tooling in storage including any necessary periodic preservation or condition checks.

8.5.1.2 Validation and Control of Special Processes

For processes where the resulting output cannot be verified by subsequent monitoring or measurement, the organization shall establish arrangements for these processes including, as applicable:

- a) definition of criteria for the review and approval of the processes;
- 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 to be retained.

8.5.1.3 Production Process Verification

The organization shall implement production process verification activities to ensure the production process is able to produce products that meet requirements.

The organization shall use a representative item from the first production run of a new part or assembly to verify that the production processes, production documentation, and tooling are able to produce parts and assemblies that meet requirements. This activity shall be repeated when changes occur that invalidate the original results (e.g., engineering changes, production process changes, tooling changes).

The organization shall retain documented information on the results of production process verification.

8.5.2 Identification and Traceability

Proxy Manufacturing, Inc. uses suitable means to identify outputs when it is necessary to ensure the conformity of products and services.

The organization shall maintain the identification of the configuration of the products and services in order to identify any differences between the actual configuration and the required configuration.

Proxy Manufacturing, Inc. identifies the status of outputs with respect to monitoring and measurement requirements throughout production and service provision.

When acceptance authority media are used (e.g., stamps, electronic signatures, passwords), the organization shall establish controls for the media.

Proxy Manufacturing, Inc. controls the unique identification of the outputs when traceability is a requirement and retains the documented information necessary to enable traceability.

8.5.3 Property Belonging to Customers or External Providers

Proxy Manufacturing, Inc. exercises care with property belonging to customer or external providers while it is under Proxy Manufacturing, Inc.'s control or being used by Proxy Manufacturing, Inc..

Proxy Manufacturing, Inc. identifies, verifies, protects and safeguards customer's or external providers' property provided for use or incorporation into the products and services.

When the property of a customer or external provider is lost, damaged or otherwise found to be unsuitable for use, Proxy Manufacturing, Inc. reports this to the customer or external provider and retains documented information on what has occurred.

8.5.4 Preservation

Proxy Manufacturing, Inc. preserves the outputs during production and service provision, to the extent necessary to ensure conformity to requirements.

Preservation of outputs shall also include, when applicable in accordance with specifications and applicable statutory and regulatory requirements, provisions for:

- a) cleaning;**
- b) prevention, detection, and removal of foreign objects;**
- c) special handling and storage for sensitive products;**
- d) marking and labeling, including safety warnings and cautions;**
- e) shelf life control and stock rotation;**
- f) special handling and storage for hazardous materials.**

8.5.5 Post-delivery Activities

Proxy Manufacturing, Inc. claims an exclusion to Post-delivery activities. (See [P-018](#)).

8.5.6 Control of Changes

Proxy Manufacturing, Inc. reviews and controls changes for production or service provision, to the extent necessary to ensure continuing conformity with requirements.

Persons authorized to approve production or service provision changes shall be identified.

Proxy Manufacturing, Inc. retains documented information describing the results of the review of changes, the person(s) authorizing the change, and any necessary actions arising from the review.

8.6 Release of Products and Service

Proxy Manufacturing, Inc. has implemented planned arrangements, at appropriate stages, to verify that the product and service requirements have been met.

The release of products and services to the customer, do not proceed until the planned arrangements have been satisfactorily completed, unless otherwise approved by a relevant authority and, as applicable, by the customer.

Proxy Manufacturing, Inc. retains documented information on the release of products and services. The documented information includes:

- a) Evidence of conformity with the acceptance criteria;
- b) Traceability to the person(s) authorizing the release.

When required to demonstrate product qualification, the organization shall ensure that retained documented information provides evidence that the products and services meet the defined requirements.

The organization shall ensure that all documented information required to accompany the products and services are present at delivery.

8.7 Control of Nonconforming Outputs

8.7.1 Proxy Manufacturing, Inc. ensures that outputs that do not conform to their requirements are identified and controlled to prevent their unintended use or delivery.

Proxy Manufacturing, Inc. takes appropriate action based on the nature of the nonconformity and its effect on the conformity of products and services. This also applies to nonconforming products and services detected after delivery of products, during or after the provision of services.

Proxy Manufacturing, Inc. ' nonconformity control process is be maintained as documented information including the provisions for:

- **defining the responsibility and authority for the review and disposition of nonconforming outputs and the process for approving persons making these decisions;**
- **taking actions necessary to contain the effect of the nonconformity on other processes, products, or services;**
- **timely reporting of nonconformities affecting delivered products and services to the customer and to relevant interested parties;**
- **defining corrective actions for nonconforming products and services detected after delivery, as appropriate to their impacts (see 10.2).**

Proxy Manufacturing, Inc. deals with nonconforming outputs in one or more of the following ways:

- a) Correction;
- b) Segregation, containment, return or suspension of provision of products and services;

- c) Informing the customer;
- d) Obtaining authorization for acceptance under concession **by a relevant authority and, when applicable, by the customer.**

Dispositions of use-as-is or repair for the acceptance of nonconforming products shall only be implemented:

- **after approval by an authorized representative of the organization responsible for design or by persons having delegated authority from the design organization;**
- **after authorization by the customer, if the nonconformity results in a departure from the contract requirements.**

Product dispositioned for scrap shall be conspicuously and permanently marked, or positively controlled, until physically rendered unusable.

Counterfeit, or suspect counterfeit, parts shall be controlled to prevent reentry into the supply chain.

Conformity to the requirements are verified when nonconforming outputs are corrected.

8.7.2 Proxy Manufacturing, Inc. retains documented information that:

- a) Describes the nonconformity;
- b) Describes the actions taken;
- c) Describes any concessions obtained; and
- d) Identifies the authority deciding the action in respect of the nonconformity.

9 Performance Evaluation

9.1 Monitoring, Measurement, Analysis and Evaluation

9.1.1 General

Proxy Manufacturing, Inc. determines:

- a) What needs to be monitored and measured;
- b) The methods for monitoring, measurement, analysis and evaluation needed to ensure valid results;
- c) When the monitoring and measuring is performed;
- d) When the results from monitoring and measurement are analyzed and evaluated.

Proxy Manufacturing, Inc. evaluates the performance and the effectiveness of the quality management system.

Proxy Manufacturing, Inc. retains appropriate documented information as evidence of the results.

9.1.2 Customer Satisfaction

Proxy Manufacturing, Inc. monitors customers' perceptions of the degree to which their needs and expectation have been fulfilled. Proxy Manufacturing, Inc. determines the methods for obtaining, monitoring and reviewing this information.

Information to be monitored and used for the evaluation of customer satisfaction includes, but is not limited to, product and service conformity, on-time delivery performance, customer complaints, and corrective action requests. The organization shall develop and implement plans for customer satisfaction improvement that address deficiencies identified by these evaluations, and assess the effectiveness of the results

9.1.3 Analysis and Evaluation

Proxy Manufacturing, Inc. analyzes and evaluates appropriate data and information arising from monitoring and measurement.

The results of analysis are used to evaluate:

- a) Conformity of products and services;
- b) The degree of customer satisfaction;
- c) The performance and effectiveness of the quality management system;
- d) If planning has been implemented effectively;
- e) The effectiveness of actions taken to address risks and opportunities;
- f) The performance of external providers; and
- g) The need for improvements to the quality management system.

9.2 Internal Audit

9.2.1 Proxy Manufacturing, Inc. conducts internal audits at planned intervals to provide information on whether the quality management system:

- a) Conforms to:
 1. Proxy Manufacturing, Inc.'s own requirements for its quality management system;
 2. The requirements of ISO 9001:2015/AS9100D
- b) Is effectively implemented and maintained.

9.2.2 Proxy Manufacturing, Inc. has:

- a) Planned, established, implemented and maintains an audit program including the frequency, methods, responsibilities, planning requirements and reporting, which is taken into consideration the importance of the processes concerned, changes affecting Proxy Manufacturing, Inc., and the results of previous audits;
- b) Defined the audit criteria and scope of each audit;
- c) Selected auditors and conducts audits to ensure objectivity and the impartiality of the audit process;
- d) Ensured that the results of the audits are reported to relevant management;

- e) Take appropriate correction and corrective actions without undue delay; and
- f) Retain documented information as evidence of the implementation of the audit program and the audit results.

9.3 Management Review

9.3.1 General

Top management reviews Proxy Manufacturing, Inc.'s quality management system, at planned intervals, to ensure its continuing suitability, adequacy, effectiveness and alignment with the strategic direction of Proxy Manufacturing, Inc..

9.3.2 Management Review Inputs

Management review is planned and carried out taking into consideration:

- a) The status of actions from previous management reviews;
- b) Changes in external and internal issues that are relevant to the quality management system;
- c) Information on the performance and effectiveness of the quality management system, including trends in:
 - 1. Customer satisfaction and feedback from relevant interested parties;
 - 2. The extent to which quality objectives have been met;
 - 3. Process performance and conformity of products and services;
 - 4. Nonconformities and corrective actions;
 - 5. Monitoring and measurement results;
 - 6. Audit results;
 - 7. The performance of external providers;
 - 8. **on-time delivery performance**
- d) The adequacy of resources;
- e) The effectiveness of actions taken to address risks and opportunities (see 6.1); and
- f) Opportunities for improvement

9.3.3 Management Review Outputs

The outputs of the management review include decisions and actions related to:

- a) Opportunities for improvement;
- b) Any need for changes to the quality management system; and
- c) Resource needs.
- d) **risks identified.**

Proxy Manufacturing, Inc. retains documented information as evidence of the results of management reviews.

10 Improvement

10.1 General

Proxy Manufacturing, Inc. determines and selects opportunities for improvement and implements any necessary actions to meet customer requirements and enhance customer satisfaction.

These include:

- a) Improving products and services to meet requirements as well as to address future needs and expectations;
- b) Correcting, preventing or reducing undesired effects; and
- c) Improving the performance and effectiveness of the quality management system.

10.2 Nonconformity and Corrective Action

10.2.1 When a nonconformity occurs, including any arising from complaints, Proxy Manufacturing, Inc.:

- a) Reacts to the nonconformity and, as applicable:
 1. Takes action to control and correct it;
 2. Deals with the consequences;
- b) Evaluates the need for action to eliminate the cause(s) of the nonconformity, in order that it does not recur or occur elsewhere, by:
 1. Reviewing and analyzing the nonconformity;
 2. Determining the causes of the nonconformity;
 3. Determining if similar nonconformities exist, or could potentially occur;
- c) Implements any action needed;
- d) Reviews the effectiveness of any corrective action taken;
- e) Updates risks and opportunities determined during planning, if necessary;
- f) Makes changes to the quality management system, if necessary;
- g) **flow down corrective action requirements to an external provider when it is determined that the external provider is responsible for the nonconformity;**
- h) **take specific actions when timely and effective corrective actions are not achieved.**

Corrective actions are appropriate to the effects of the nonconformities encountered.

The organization shall maintain documented information that defines the nonconformity and corrective action management processes.

10.2.2 Proxy Manufacturing, Inc. retains documented information as evidence of:

- a) The nature of the nonconformities and any subsequent actions taken; and
- b) The results of any corrective action.

10.3 Continual Improvement

Proxy Manufacturing, Inc. continually improves the suitability, adequacy and effectiveness of the quality management system.

Proxy Manufacturing, Inc. considers the results of analysis and evaluations, and the outputs from the management review, to determine if there are needs or opportunities that are addressed as part of the continual improvement.

Proxy Manufacturing, Inc monitors the implementation of improvement activities and evaluates the effectiveness of the results.