



## **SUPPLIER QUALITY ASSURANCE REQUIREMENT**

### **QA-01 CERTIFICATION OF COMPLIANCE**

CERTIFICATION DOCUMENTS ARE REQUIRED FROM SUPPLIER AND SUB-TIER SUPPLIER, AND SHALL BE IDENTIFIED WITH, AND INCLUDE THE FOLLOWING: OUR PURCHASE ORDER NUMBER, ITEM NUMBER, QUANTITY, LOT NUMBER AND/OR SERIAL NUMBER, D.O.M., PART NUMBER AND REVISION AS SPECIFIED ON PO., SIGNATURE, TITLE, AND DATE BY AN AUTHORIZED REPRESENTATIVE OF THE ISSUING ORGANIZATION.

### **QA-02 MATERIAL CERTIFICATION OF COMPLIANCE (WHEN SPECIFIED)**

**QA-02A:** MUST INCLUDE BOTH MATERIAL CERTS WITH LOT #S AND/OR TEST DATA (IF APPLICABLE) (SEE QA-02B AND QA-02C)— MUST SHOW CHAIN OF CUSTODY PROOF FROM RAW MATERIAL TO FINAL SUPPLIER VIA DOCUMENTED CERTS AND/OR PURCHASE ORDERS. CERTIFICATIONS MUST INCLUDE APPLICABLE MILITARY OR COMMERCIAL SPECIFICATION (IF APPLICABLE), INCLUDING THE LATEST REVISION OF SPECIFICATION.

**QA-02B:** EACH SHIPMENT MUST BE ACCOMPANIED BY (1) LEGIBLE AND REPRODUCIBLE COPY OF ACTUAL TEST RESULTS IDENTIFIABLE WITH TEST PARAMETERS AND PRODUCT SUBMITTED. THESE REPORTS MUST CONTAIN THE TEST/INSPECT STAMP OF THE INDIVIDUAL PERFORMING THE TASK, OR THE SIGNATURE AND TITLE OF THE AUTHORIZATION.

**QA-02C:** EACH SHIPMENT MUST BE ACCOMPANIED BY (1) LEGIBLE AND REPRODUCIBLE COPY OF THE RAW MATERIAL CERTIFICATION. THE CERTIFICATION SHALL BE FROM THE MILL SOURCE AND LISTS THE ACTUAL TEST VALUES AND TRACEABLE TO THE LOT AND COUNTRY OF ORIGIN.

### **QA-03 RAW MATERIAL TRACEABILITY**

ALL ITEMS MANUFACTURED UNDER THIS PURCHASE ORDER SHALL BE TRACEABLE TO RAW MATERIAL USED. TRACEABILITY AND INSPECTON RECORDS SHALL BE AVILABLE UPON REQUEST BY AMERICAN LITHIUM ENERGY. IDENTIFICATION OF RAW MATERIAL USED SHALL INCLUDE, AS APPLICABLE, BUT NOT LIMITED TO, THE FOLLOWING TYPE OF INFORMATION: LOT NUMBER, MATERIAL TYPE, SPECIFICATION, LOT NUMBER, ETC. IN ANY CASE, SUPPLIER SHALL ADEQUATELY IDENTIFY ALL MATERIAL IN SUCH A MANNER THAT THE FULL TRACEABILITY OF RAW MATERIAL USED IS INCLUDED.

NOTE: SUPPLIER MUST INCLUDE LOT NUMBERS OF MATERIAL SUPPLIED TO THE VENDOR (SUBCONTRACTED ITEMS) AS SPECIFIED IN THE PURCHASE ORDER.

### **QA-04 DFARS COMPLIANCE REQUIRED (WHEN SPECIFIED)**

PRODUCT MUST COMPLY WITH DFARS 252.225-7009 - PREFERENCE FOR DOMETIC SPECIALTY METALS. MELTED IN USA OR QUALIFYING COUNTRY.

### **QA-05 ROHS & REACH COMPLIANT MATERIAL REQUIRED-CERTIFICATION NEEDED (WHEN SPECIFIED)**

MATERIAL MUST BE RoHS COMPLIANT & REACH COMPLIANT.

**QA-06 FIRST ARTICLE VERIFICATION REQUIRED—SUPPLIER STANDARD FORM (WHEN SPECIFIED)**

A FIRST ARTICLE INSPECTION REPORT SHALL BE REQUIRED WHEN ANY OF THE FOLLOWING CONDITIONS ARE PRESENT:

- THE FIRST PRODUCTION UNITS ARE MANUFACTURED FOR A SPECIFIC ITEM.
- THERE IS A REVISION TO THE ITEM MANUFACTURED, IN WHICH CASE ONLY A DELTA FIRST ARTICLE IS REQUIRED FROM THE PREVIOUS FIRST ARTICLE REPORT.
- THERE HAS BEEN A LAPSE OF 5 YEARS SINCE THE LAST MANUFACTURE OF THIS ITEM.
- THERE HAS BEEN A PROCESS OR LOCATION CHANGE IN THE MANUFACTURE OF THIS ITEM.
- THE REPORT SHALL INCLUDE ALL DRAWING CHARACTERISTICS AND NOTES, REQUIRED TOLERANCE RANGE, ACTUAL MEASUREMENT RESULTS, AND WHERE PHYSICAL TESTING IS REQUIRED, THE RESULT OF THE TEST. SUPPLIER MAY USE AS9102 FORMAT OR THEIR OWN STANDARD FORMAT.

**QA-07 FIRST ARTICLE VERIFICATION REQUIRED—AS9102 FORMAT (WHEN SPECIFIED)**

AS PER QA-10, THE REQUIREMENT IS THE SAME, EXCEPT THE FORMAT USED MUST BE PER AS9102 (INCLUDES ALL ELEMENTS OF AS9102 ALTHOUGH THE FORMAT MAY BE DIFFERENT). COPIES OF AS9102-FAI REPORTS NEED NOT BE DELIVERED WITH PRODUCT; HOWEVER, A REPORT MUST BE KEPT ON FILE FOR 7 YEARS AND BE READILY RETRIEVABLE IF ALE OR ALE CUSTOMERS REQUEST A COPY. THIS REQUIREMENT IS FLOWED DOWN TO ALL SUPPLIER SUB-CONTRACTORS.

**QA-08 QUALITY SYSTEM REQUIREMENTS AND FLOWDOWN TO SUPPLIERS**

SUPPLIER SHALL IMPLEMENT AND MAINTAIN A QUALITY MANAGEMENT SYSTEM THAT COMPLIES WITH ISO 9001/AS9100 OR AN EQUIVALENT SYSTEM THAT PROVIDES ADEQUATE INSPECTION TO VERIFY THAT THE PRODUCT SUPPLIED IS IN FULL COMPLIANCE WITH THE PURCHASE ORDER REQUIREMENTS AND ALL APPLICABLE SPECIFICATIONS. COMPLIANCE WITH THESE REQUIREMENTS ARE SUBJECT TO AUDIT BY AMERICAN LITHIUM ENERGY. **SUPPLIER WILL FLOW-DOWN ALL APPLICABLE REQUIREMENTS OF THE PURCHASE ORDER TO THEIR SUPPLIERS TO ENSURE CONFORMANCE WITH ALL SPECIFICATIONS, DRAWINGS, QUALITY SYSTEM REQUIREMENTS (I.E. ISO9001, AS9100, OR OTHER QMS), REGULATIONS/LAWS, AND OTHER REQUIREMENTS, INCLUDING KEY CHARACTERISTICS, AS MAY BE SPECIFIED IN THE PURCHASE ORDER.**

***\*\*\*CRITICAL: IF A SUPPLIER HOLDS AN AS9100, ISO 9001 OR SIMILAR QUALITY MANAGEMENT CERTIFICATION, THEY ARE TO ADVISE US IF THEIR CERTIFICATION HAS EXPIRED AS WELL AS SEND US THEIR NEW CERTIFICATIONS UPON THEIR RENEWAL \*\*\****

**QA-09 NO MRB AUTHORITY GIVEN FOR NON-CONFORMANCES—QUALITY DEPT MUST BE NOTIFIED PRIOR TO ANY DISPOSITIONS OR IMPLEMENTATIONS**

SUGGESTED DISPOSITIONS, IDENTIFICATIONS OF CAUSE OF NON-CONFORMANCE, AND THE CORRECTIVE ACTIONS TAKEN SHALL BE SUBMITTED IN WRITING. FURTHER WORK SHALL NOT BE PERFORMED UNTIL DIRECTED BY AMERICAN LITHIUM ENERGY IN WRITING. SUPPLIER SHALL NOT SHIP NON-CONFORMING MATERIALS **WITHOUT PROPER IDENTIFICATION INDICATING THAT MATERIAL IS NON-CONFORMING AND SHOULD BE SEGREGATED FROM CONFORMING MATERIAL.** ALL NON-CONFORMING MATERIALS SHALL BE CLEARLY IDENTIFIED AS TO THE NATURE OF THE NON-CONFORMANCE(S) WHEN SHIPPED TO AMERICAN LITHIUM ENERGY.

**QA-11 AMERICAN LITHIUM ENERGY SOURCE INSPECTION REQUIRED—NOTIFY AMERICAN LITHIUM ENERGY QUALITY PRIOR TO SHIPMENT (WHEN SPECIFIED)**

AMERICAN LITHIUM ENERGY WILL INSPECT THE MATERIAL SUBMITTED ON THIS PURCHASE ORDER AT THE SUPPLIER'S FACILITY. SOURCE INSPECTION APPROVAL OR ACCEPTANCE SHALL NOT CONSTITUTE FINAL APPROVAL OR ACCEPTANCE BY AMERICAN LITHIUM ENERGY OF THE ITEMS COVERED BY THIS PURCHASE ORDER, NOR SHALL IT RELIEVE THE SELLER OF THEIR RESPONSIBILITY TO FURNISH ACCEPTABLE PRODUCT.

**QA-12 AMERICAN LITHIUM ENERGY IN PROCESS SOURCE INSPECTION REQUIRED—NOTIFY AMERICAN LITHIUM ENERGY QUALITY PRIOR TO CRITICAL PROCESS IS PERFORMED (WHEN SPECIFIED)**

CRITICAL PROCESS IS TO BE AGREED UPON BETWEEN VENDOR AND AMERICAN LITHIUM ENERGY QUALITY AHEAD OF TIME.

**QA-13 GOVERNMENT INSPECTION (WHEN SPECIFIED)**

GOVERNMENT INSPECTION IS REQUIRED PRIOR TO SHIPMENT FROM YOUR PLANT. PROMPTLY NOTIFY THE GOVERNMENT REPRESENTATIVE WHO NORMALLY SERVES YOUR PLANT.

**QA-14 CONFIGURATION MANAGEMENT**

THE SUPPLIER SHALL NOTIFY THE BUYER IMMEDIATELY OF ANY CHANGES TO THE CHARACTERISTICS OR CONFIGURATION OF THE PRODUCT AND/OR PROCESSES USED TO MANUFACTURE THE PRODUCT. WHEN REQUIRED, SUPPLIER SHALL OBTAIN WRITTEN APPROVAL OF CHANGES FROM AMERICAN LITHIUM ENERGY.

**QA-15 FOD CLEANLINESS PROGRAM REQUIRED-FOR FOD CRITICAL PARTS (WHEN SPECIFIED)**

PARTS RECEIVED MUST BE FREE OF FOREIGN OBJECT DEBRIS OR CONTAMINANTS ANYWHERE ON THE PRODUCT. SUPPLIER MUST ESTABLISH A FOD/FOE PROGRAM AT THEIR FACILITY.

**QA-16 PACKAGING / HANDLING (WHEN SPECIFIED)**

PRODUCT INTENDED FOR DELIVERY TO AMERICAN LITHIUM ENERGY MATERIALS SHALL BE HANDLED AND PACKAGED IN MANNER AS NECESSARY TO PREVENT DAMAGE DURING HANDLING AND TRANSIT

\* **QA-16A:** HAZARDOUS MATERIALS, AS DEFINED BY THE EPA, SHALL BE PACKED AND CLEARLY IDENTIFY IN SUCH MANNER AS TO INCLUDE ANY AND ALL SPECIAL HANDLING, PACKAGING, STORAGE, ENVIRONMENTAL, OR OTHER REQUIREMENTS IMPOSED BY STATUS OF REGULATION. (MSDS MUST BE INCLUDED WITH EACH SHIPMENT.)

**QA-17 BAR CODE LABELING REQUIRED (WHEN SPECIFIED)**

PART NUMBER, DESCRIPTION, QTY AND LOT NUMBER INFORMATION MUST BE INCLUDED IN A LABEL AFFIXED TO THE EXTERNAL OR INTERNAL CONTAINER OF THE PRODUCT. CODE 3 OF 9 BARCODE STANDARD SHOULD BE APPLIED.

**QA-18 LIMITED SHELF-LIFE MATERIAL (WHEN SPECIFIED)**

THE SELLER SHALL IDENTIFY EACH ITEM, PACKAGE, OR CONTAINER THAT HAS A LIMITED-CALENDAR-SHELF-LIFE MATERIAL WITH THE MANUFACTURE DATE, STORAGE TEMPERATURE, SPECIAL HANDLING CONDITIONS AND REQUIREMENTS. SUPPLIERS ARE NOT TO SHIP EXPIRED MATERIALS TO AMERICAN LITHIUM ENERGY. ADDITION TO THE NORMAL IDENTIFICATION REQUIREMENT OF NAME, PART NUMBER, SPECIFICATION NUMBER, TYPE, SIZE, QUANTITY AND MANUFACTURERS RECOMMENDED SHELF-LIFE. THIS IDENTIFICATION, INCLUDING SPECIAL HANDLING CONDITION AND REQUIREMENTS,

SHALL BE RECORDED ON CERTIFICATIONS AND SHIPPING DOCUMENTS FOR THE MATERIAL. **MATERIALS AT THE TIME OF RECEIPT AT AMERICAN LITHIUM ENERGY SHALL HAVE A MINIMUM OF 80% OF THEIR SHELF LIFE REMAINING.**

**QA-19 QUALITY RECORDS (APPLIES TO ALL PURCHASE ORDERS)**

ALL QUALITY RECORDS ARE TO BE LEGIBLE, REPRODUCIBLE, AND IDENTIFIABLE TO THE PURCHASE ORDER. QUALITY RECORDS ARE TO BE STORED AND MAINTAINED IN SUCH A WAY THAT THEY ARE READILY RETRIEVABLE IN FACILITIES THAT PROVIDE A SUITABLE ENVIRONMENT TO MINIMIZE DETERIORATION OR DAMAGE AND TO PREVENT LOSS. THIS APPLIES TO OUR SUPPLIERS AND ANY LOWER-TIER SUPPLIERS. RETENTION PERIOD FOR QUALITY RECORDS IS 10 YEARS UNLESS OTHERWISE SPECIFIED. AMERICAN LITHIUM ENERGY, OUR CUSTOMERS, OR REGULATORY AGENCY REPRESENTATIVE SHALL HAVE ACCESS TO REVIEW QUALITY RECORDS AS THEY PERTAIN TO THIS ORDER.

**QA-20 RIGHT OF ENTRY**

AMERICAN LITHIUM ENERGY RESERVES THE RIGHT TO REVIEW *ALL APPLICABLE RECORDS*, CONTROL METHODS AND INSPECT MATERIAL PERTAINING TO THIS PURCHASE ORDER AT THE SUPPLIER'S PLANT AND AT ANY SUB-TIER PLANT. THESE ACCESS RIGHTS SHALL BE EXTENDED TO OUR CUSTOMER AND GOVERNMENT OR REGULATORY AGENCY REPRESENTATIVES.

**QA-21 100% INSPECTION REQUIRED FOR ALL PARTS (WHEN SPECIFIED)**

AMERICAN LITHIUM ENERGY REQUIRES THAT ALL PARTS MUST BE 100% VISUALLY INSPECTED FOR COSMETIC DEFECTS, SCRATCHES, BLISTERS, FOD, OR OTHER DAMAGE.

**QA-22 EXPORT INFORMATION CLASSIFICATION REQUIREMENTS (WHEN SPECIFIED)**

WHEN THIS CLAUSE IS INVOKED, THE SUPPLIER SHALL PROVIDE AMERICAN LITHIUM ENERGY WITH HARMONIZED TARIFF OR SCHEDULE B COMMODITY CODE INFORMATION, ECCN OR ITAR CLASSIFICATION CODES IF APPLICABLE IF PARTS FALL UNDER COMMERCE OR STATE DEPARTMENT REGULATIONS, COUNTRY OF ORIGIN AND IF NECESSARY, NAFTA CERTIFICATE OF ORIGIN.

**\*\*IF ITAR REGULATIONS APPLY (WILL BE NOTED ON PO), THEN ONLY US PERSONS SHALL BE INVOLVED IN THE MANUFACTURE OF THE ORDER\*\***

**QA-23 COUNTERFEIT MATERIAL /REQUIREMENT FOR COUNTERFEIT MATERIAL CONTROL**

THE SUPPLIER SHALL HAVE PROCESSES AND CONTROL TO ENSURE THAT NO COUNTERFEIT MATERIALS ARE DELIVERED TO AMERICAN LITHIUM ENERGY OR TO AMERICAN LITHIUM ENERGY CUSTOMERS. SUPPLIER SHALL HAVE A PROCESS THAT IS COMPLIANT TO **AS6174**, AS A WHOLE, AND SPECIFICALLY HAVE PROCESSES IN PLACE SUPPORT ALL THE REQUIREMENTS. COUNTERFEIT CONTROL PLAN. SUPPLIER SHALL MAINTAIN DOCUMENTATION, I.E. CERTIFICATES OF MANUFACTURE, CERTIFICATES OF CONFORMANCE, INDEPENDENT 3RD PARTY TESTING, AND OTHER DOCUMENTATION NECESSARY TO ASSURE TRACEABILITY TO THE ORIGINAL EQUIPMENT MANUFACTURE (OEM). DOCUMENTATION SHALL BE MAINTAINED PER RECORD RETENTION REQUIREMENT FLOW-DOWN AND BE AVAILABLE UPON REQUEST.

SUPPLIERS ARE EXPECTED TO FLOW DOWN THIS REQUIREMENT TO ALL THEIR SUPPLIERS BACK TO THE ORIGINAL MANUFACTURER.

SUPPLIERS ARE REQUIRED TO ASSURE FULL COMPLIANCE THRU AUDITS, 3RD PARTY AUDITS, RANDOM COMPLIANCE TESTING, ETC.

**QA-24 SUPPLIER'S INSPECTION SYSTEM REQUIREMENTS**

SUPPLIER AND SUB-TIERS MUST PERFORM ALL INSPECTIONS AND TESTS NECESSARY TO PROVE PRODUCTS PERFORMANCE TO DRAWINGS, SPECIFICATIONS, CONTRACT REQUIREMENTS, AND INSPECTIONS AND TEST REQUIRED BY THE PURCHASE ORDER. THE SUPPLIER MUST PROVIDE AND MAINTAIN AN INSPECTION SYSTEM THAT IS DOCUMENTED AND THAT INSPECTION AND TEST RECORDS ARE MAINTAINED.

**QA-25 NO CHANGES WITHOUT APPROVAL**

SUPPLIER MUST NOTIFY AMERICAN LITHIUM ENERGY IN WRITING IF THERE IS ANY PLAN OF MAKING CHANGES IN MATERIAL, PROCESS, TOOLING, LOCATION, PERSONNEL (TRAINING) THAT WILL AFFECT FORM, FIT, AND FUNCTION OF THE PRODUCT. PRIOR TO FULFILLING AMERICAN LITHIUM ENERGY PURCHASE ORDERS, AMERICAN LITHIUM ENERGY MUST APPROVE ANY/ALL CHANGES IN WRITING.

**QA-26 QUALIFIED PERSONNEL FOR SPECIAL PROCESSES (WHEN SPECIFIED)** PERSONNEL PERFORMING SPECIAL PROCESSES (IE SOLDERING, PLATING, ETC.) MUST BE CURRENTLY TRAINED OR CERTIFIED TO THE APPLICABLE STANDARDS.

**QA-27 CONFLICT MINERALS (WHEN SPECIFIED)**

SUPPLIER SHALL COMPLY WITH SECTION 1502 OF DODD-FRANK ACT AND ITS IMPLEMENTING REGULATIONS. SUPPLIER SHALL COMMIT TO HAVE IN PLACE A SUPPLY CHAIN POLICY THAT MAKES A REASONABLE INQUIRY INTO THE COUNTRY OF ORIGIN OF CONFLICT MINERALS INCORPORATED INTO PRODUCTS PROVIDED TO ALE, AND TO REPORT THOSE FINDINGS TO AMERICAN LITHIUM ENERGY.

**QA-28 MERCURY FREE (WHEN SPECIFIED)**

SUPPLIER SHALL ENSURE THAT PRODUCT SUPPLIER TO AMERICAN LITHIUM ENERGY SHALL BE FREE OF MERCURY OR ITS CONTAMINANTS AT A LEVEL BELOW THE REQUIREMENTS SPECIFIED BY ROHS.

**QA-29 MEASURING AND TEST EQUIPMENT**

SUPPLIER SHALL BE RESPONSIBLE FOR VALIDATING THE ACCURACY AND STABILITY OF TOOLS, GAUGES, AND TEST TO ANSI/NCSL Z540.3 OR NATIONAL OR INTERNATIONAL EQUIVALENT, WHICH ARE USED TO DEMONSTRATE THAT ITEMS CONFORM. DOCUMENTED SCHEDULES SHALL BE MAINTAINED TO PROVIDE FOR PERIODIC CALIBRATION TRACEABLE TO INTERNATIONAL OR NATIONAL STANDARDS BODIES SUCH AS THE NATIONAL INSTITUTE OF STANDARDS & TECHNOLOGY (NIST). OBJECTIVE EVIDENCE OF CALIBRATIONS SHALL BE RECORDED AND MADE AVAILABLE FOR ALE TO REVIEW UPON REQUEST. IF CALIBRATIONS LABS ARE USED FOR CALIBRATION OF CERTAIN TEST EQUIPMENT, IT IS PREFERRED THAT THE SUPPLIER USE A CALIBRATION LAB THAT IS ACCREDITED TO ISO/IEC 17025.

**QA-30 WORKMANSHIP STANDARDS (WHEN SPECIFIED)**

QUALITY WORKMANSHIP SHALL BE IN ACCORDANCE WITH APPLICABLE DRAWINGS AND SPECIFICATIONS AND/OR IF NOT IDENTIFIED, WITH J-STD-001 OR AMERICAN NATIONAL STANDARDS INSTITUTE (ANSI) CRITERIA. SOLDERING WORKMANSHIP SHALL CONFORM TO IPC-A-610 (CLASS 2 OR 3) AS SPECIFIED.

**QA-31 PRODUCT AND SERVICE CONFORMITY, PRODUCT SAFETY, IMPORTANCE OF ETHICAL BEHAVIOR**

SUPPLIER SHALL BE AWARE OF THEIR CONTRIBUTION TO PRODUCT AND SERVICE CONFORMITY AS PER APPLICABLE AMERICAN LITHIUM ENERGY SPEC AND FLOW-DOWN REQUIREMENTS, THEIR CONTRIBUTION TO PRODUCT SAFETY (INCLUDING ANY APPLICABLE FUNCTIONAL OR ELECTRICAL TESTING), AND THE IMPORTANCE OF ETHICAL BEHAVIOR.