Honeywell Building Automation (BA)
Supplemental Purchase Order Conditions (SPOC)
Manual

SPOC 100–113

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BUILDING AUTOMATION (BA)

SUPPLEMENTAL

PURCHASE

ORDER

CONDITIONS

MANUAL

This manual contains requirements that are applicable when invoked by Honeywell Building Automation Purchase Orders.

Requirements include the mandatory use of this manual for Contract Review and Quality Planning activities

REVISON: XXXXXX

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SPOC 100 – Supplier Quality Management System (QMS)

Purpose:
To establish minimum Quality Management System (QMS) requirements for all suppliers that provide products, materials, or services to Honeywell Building Automation (BA). The intent is to ensure a consistent, effective, and documented system capable of meeting all Honeywell BA and customer specifications.

Requirements:
Suppliers shall maintain a documented QMS that conforms to ISO 9001 as a minimum.
Suppliers of safety-critical or high-risk components must maintain certification to IATF 16949, AS9100, or equivalent standards.
The supplier shall implement documented procedures governing management review, internal audits, calibration, document control, and corrective/preventive actions. Internal audits shall be performed annually to verify system effectiveness.
All measuring and test equipment shall be maintained, identified, and calibrated per a defined schedule. Sub-tier suppliers performing manufacturing or special processes must meet equivalent QMS standards.
Quality records—including inspection results, test data, and certificates—shall be retained for a minimum of 15 years.

Supplier Expectations:
Suppliers must demonstrate proactive prevention, data-driven decision making, and continuous improvement.
They must use risk-based thinking and process monitoring (Cp/Cpk) to drive defect prevention.

Evidence of Compliance:
- ISO/IATF/AS certification
- Internal audit summaries
- Calibration and management review records

References:
ISO 9001:2015, IATF 16949:2016, AS9100 Rev D, Honeywell BA Supplier Quality Manual

SPOC 101 – Production Part Approval Process (PPAP)

Purpose:
To ensure that all Honeywell BA-specific components are produced using validated manufacturing processes. The PPAP verifies that suppliers have robust control of design, materials, and process variation before production.

Requirements:
Suppliers must submit a PPAP package to Honeywell BA SQE for approval before shipment, for new or modified components /products. The package can includes but not limited
- Part Submission Warrant (PSW)
- Design Records
- DFMEA/PFMEA
- Control Plan
- Process Flow Diagram
- Dimensional and Material Results
- Capability Studies (Cpk ≥ 1.67 initial, 1.33 ongoing)
- MSA Studies
- Qualified Laboratory Evidence
- Packaging Validation

Supplier Expectations:
Suppliers shall maintain PPAP documentation under document control and update upon changes. Verbal approval is not permitted.

Evidence of Compliance:
Signed PSW, approved PPAP, capability data, and packaging approval.

References:
AIAG PPAP 4th Edition, APQP 2nd Edition, Honeywell BA Form A-091.

SPOC 102 – Control of Special and Key Characteristics

Purpose:
To ensure all special and key characteristics identified by Honeywell BA are clearly controlled and verified to reduce variation and defects.

Requirements:
Suppliers must identify key characteristics in all drawings, FMEAs, and Control Plans. Statistical validation is required with Cp/Cpk ≥ 1.67 (initial) and 1.33 (ongoing).

If capability is not achieved, 100% inspection or error-proofing shall be used. Sub-tier suppliers must also control key characteristics.

Supplier Expectations:
Maintain process monitoring, train personnel, and prevent defects through proactive statistical control.

Evidence of Compliance:
- Marked drawings and Control Plans
- Capability studies and control charts
- Records of reaction plans

References:
AIAG SPC, MSA, APQP, Honeywell BA Engineering Standards.

SPOC 103 – Statistical Process Control (SPC)

Purpose:
To require the use of Statistical Process Control to monitor and improve process performance.

Requirements:
SPC must be used for key processes. Control charts (X-bar/R, p-chart, I-MR) must be defined with sampling frequency, subgroup size, and reaction plans.
Processes are stable when no non-random patterns are observed. Cpk ≥ 1.67 initial, ≥1.33 ongoing. Data shall be reviewed daily.
Out-of-control actions must include containment and root-cause correction.

Supplier Expectations:
Act on data proactively, use SPC for continuous improvement, and link to PFMEA.

Evidence of Compliance:
- Active control charts
- SPC plan and capability data
- Corrective-action documentation

References:
AIAG SPC 2nd Edition, MSA 4th Edition, ISO 9001:2015, Honeywell BA Supplier Quality Manual.

SPOC 104 – Change Management and Approval

Purpose:
To control and approve all supplier changes that may affect product form, fit, function, or performance.

Requirements:
Suppliers shall not implement any changes without written Honeywell BA approval.
Changes shall include design, process, material, tooling, location, or sub-tier supplier changes.
Requests are submitted using Form A-091 with full risk assessment and PPAP revalidation.
Requests must be submitted at least 90 days prior to implementation.

Supplier Expectations:
Maintain an internal Engineering Change Control system and communicate all pending changes to Honeywell BA.

Evidence of Compliance:
- Approved A-091 form
- Updated PPAP records
- Risk assessment and validation data

References:
AIAG APQP, PPAP, ISO 9001:2015 Clause 8.5.6, IATF 16949 Clause 8.5.6.

SPOC 105 – Material Certification and Traceability

Purpose:
To ensure all materials supplied to Honeywell BA are verified and traceable to specification.

Requirements:
Suppliers shall provide a Certificate of Conformance (CoC) with each shipment, referencing lot number, part number, specification, and actual test results.
Traceability must be maintained from raw material to shipment. Each lot or serial identifier must link to inspection and production records.
Special processes (plating, heat treat) must be performed by approved sources.
All certifications and records retained for at least 15 years.

Supplier Expectations:
Maintain lot control, verify material compliance, and segregate nonconforming lots.

Evidence of Compliance:
- CoC/CoA and test reports
- Traceability matrix

- Sub-tier supplier approvals

References:
ISO 9001:2015, IATF 16949, AS5553, SAE AS6174, Honeywell BA Quality Clauses.

SPOC 106 – Packaging, Labeling & Preservation

Purpose:
To define packaging, labeling, and preservation requirements for materials and products shipped to Honeywell Building Automation (BA).

Requirements:
Suppliers shall protect all products from damage, corrosion, and contamination during transport. Packaging must comply with Honeywell BA logistics standards and environmental regulations. Each container must include legible labels with part number, revision, PO number, quantity, and lot code. ISPM-15 applies for wood packaging. FIFO shall be maintained.

Supplier Expectations:
Maintain documented packaging and labeling instructions. Provide Honeywell BA with packaging samples for approval before first shipment.

E**vidence of Compliance:**
- Label sample meeting BA-LS-001
- Packaging design record
- Preservation procedure log

References:
Honeywell BA Logistics Standards, AIAG B-10, ISO 9001:2015, ISPM 15.

SPOC 107 – Nonconformance, Containment & Corrective Action (8D)

Purpose:
To define processes for identifying, containing, and correcting nonconforming materials provided to Honeywell BA.

Requirements:
Suppliers shall notify Honeywell BA immediately of any nonconformance. Containment must begin immediately. A structured 8D analysis must be submitted with escape and

occurrence root causes. Corrective actions are due within 15 days. Verification and closure will be confirmed by Honeywell BA SQE.

Supplier Expectations:
Maintain a corrective action process following AIAG 8D and 5-Why methods.

Evidence of Compliance:
- Completed 8D report
- Containment verification logs
- Root cause data

References:
AIAG CQI-20, ISO 9001:2015 Clause 10.2, Honeywell BA Supplier Quality Manual.

SPOC 108 – Supplier Notification of Quality Escapes

Purpose:
To require suppliers to promptly notify Honeywell BA of quality escapes affecting shipped products.

Requirements:
Notification must be sent within 24 hours with full part and lot information. Containment and inspection must be initiated immediately. An 8D analysis is required within 48 hours. Suppliers must assist Honeywell BA in field containment and recall actions as needed.

Supplier Expectations:
Maintain a documented escape notification process integrated with the QMS.

Evidence of Compliance:
- Escape report
- Containment record
- 8D corrective action file

References:
ISO 9001:2015 Clause 8.7, IATF 16949 Clause 10.2, Honeywell BA Supplier Quality Manual.

SPOC 109 – Risk Management & Quality Planning

Purpose:
To establish proactive quality planning through structured risk assessment.

Requirements:
Suppliers shall implement FMEA-based risk management. DFMEA and PFMEA must be reviewed annually or after process changes. Control Plans must link to FMEA items. Mitigation actions shall be documented for all high-risk elements.

Supplier Expectations:
Integrate APQP and risk management across all new product launches.

Evidence of Compliance:
- DFMEA/PFMEA files
- Control Plan
- Risk review records

References:
AIAG-VDA FMEA, APQP 2nd Edition, ISO 9001 Clause 6.1, IATF 16949 6.1.2.1.

SPOC 110 – Audit & Run-at-Rate Evaluations

Purpose:
To ensure supplier processes are capable and validated under actual production conditions.

Requirements:
Suppliers shall perform annual internal system and process audits. Honeywell BA reserves the right to conduct process and run-at-rate audits before or after production start. Run-at-rate validation must confirm full-rate production and quality stability.

Supplier Expectations:

Maintain a proactive audit schedule and address all findings promptly.

Evidence of Compliance:
- Audit schedule and reports
- Run-at-rate test results
- Corrective-action plans

References:
ISO 9001 Clause 9.2, IATF 16949 9.2.2, AIAG CQI-8.

SPOC 111 – Logistics, Labeling & Identification

Purpose:
To standardize product identification and labeling for traceability and efficient logistics.

Requirements:
All shipments must comply with Honeywell BA Routing and Labeling Standards. Each label shall include part number, revision, quantity, PO number, lot number, and country of origin. Barcode quality must meet ANSI Grade B. Mixed pallets must be identified.

Supplier Expectations:
Maintain labeling control within the QMS and perform periodic verification audits.

Evidence of Compliance:
- Label sample
- Packing list and ASN record

References:
AIAG B-10, ISO 9001 Clause 8.5.2, Honeywell BA Logistics Standards.

SPOC 112 – ESD / Counterfeit Prevention

Purpose:
To prevent damage due to ESD and avoid counterfeit material introduction.

Requirements:
Suppliers handling ESD-sensitive parts shall maintain an ESD control program per ANSI/ESD S20.20. Counterfeit prevention programs per SAE AS5553/AS6174 must control material traceability. All suspect items must be reported within 24 hours.

Supplier Expectations:
Implement continuous ESD training and material authenticity verification.

Evidence of Compliance:
- ESD audit reports
- Counterfeit prevention policy

References:
ANSI/ESD S20.20, SAE AS5553, SAE AS6174, Honeywell BA Supplier Manual.

SPOC 113 – REACH / RoHS Compliance

Purpose:
To ensure material compliance with REACH and RoHS substance restrictions.

Requirements:
Suppliers shall declare all substances of very high concern (SVHCs) per REACH and restricted substances per RoHS Directive 2015/863/EU Material Declaration Forms (MDF) or IPC-1752A data must be updated upon regulatory changes.

Supplier Expectations:
Maintain documentation and ensure sub-tier compliance to environmental standards.

Evidence of Compliance:
- REACH/RoHS Declaration of Conformity
- Material Declaration Forms
- Test reports

References:
REACH EC 1907/2006, RoHS Directive 2015/863/EU, IEC 63000, Honeywell Environmental Policy.

Supplier Acknowledgment & Commitment to Compliance

- The Supplier acknowledges receipt of the Honeywell Building Automation Supplier Quality Requirements Manual (SPOC-Based) and agrees to comply fully with all requirements described herein.

  The Supplier further acknowledges understanding that:
  -The SPOC Manual form part of the contractual agreement governing the supply of materials, components, and services and by executing the contractual agreement, Supplier agrees to comply with this SPOC manual as well.
  -Honeywell may in its discretion can make changes to the requirement of the SPOC manual at any time and the latest version of SPOC manual would apply to the Supplier.
  - Continuous improvement, proactive communication, and strict adherence to

applicable standards (ISO 9001, IATF 16949, AIAG PPAP, AS9102, REACH, and other applicable regulations) are expected.
- All sub-tier suppliers must also conform to equivalent standards of quality, environmental, and ethical performance.
- Failure to comply may result in removal from the Approved Supplier List (ASL) or other actions as determined by Honeywell Building Automation Global Supplier Quality.