DCMA NSEO MANUFACTURING PROCESS SURVEILLANCE (MPS) CHECKLIST #15

SUPPLIER CONTROL OF OBJECTIVE QUALITY EVIDENCE AND MATERIAL TRACEABILITY

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
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| **SUPPLIER & CAGE:**  |  |
|  |  |
| **LOCATION:** |  |
|  |  |

**Program Type:**

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| --- | --- | --- | --- | --- | --- |
|  | Level I/SUSBAFE (LI/SS) |  | Navy Propulsion Program (NPP) |  | Deep Submergence Systems/Scope of Certification Program (DSS-SOC) |
|  | Nuclear Plant Material (NPM) |  | Naval Nuclear Propulsion Program (NNPP) |  | Aircraft Launch & Recovery Equipment (ALRE) |
|  | Fly By Wire Ships Control Systems (FBWSCS) |  | Ships Critical Safety Items (SCSIs) |  | Other: |

**Contractual Requirement(s) for this process:**

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**Supplier Procedure Number(s), Title(s) & Revision Level(s)/Date(s):**

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| --- | --- |
| Surveillance Performed By:  |  |
|  |  |
| Date(s) of Surveillance: |  |
| Contract Number(s): |  |
|  |  |
| Part Number(s)/Serial number(s)/NSN: |  |
|  |  |
| Part Nomenclature(s): |  |
|  |  |
| Supplier Personnel Contacted and Titles: |  |
|  |  |
| Drawing Number & Revision: |  |

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**Process Concerns and Guidance:**

* Contractor does not understand all certification requirements.
* All certification /OQE requirements were not identified and documented during contract review.
* Certifications are presented as meeting specification requirements when they do not.
* Sub-tier vendor certification errors are not being identified.
* Prime contractor is not identifying certification documentation when material is received.
* LOD’s are being issued without validating accuracy of purchase orders.
* Contractor’s previous corrective and preventative actions have been ineffective in resolving issues with objective quality evidence.
* Suppliers not reviewing all applicable technical requirements and verifying certifications meet those requirements

**QARs should use the “BASIS OF DETERMINATION” column to document the objective quality evidence and/or clarify the rationale used to support their decision. (e.g. direct observation, documents verified etc.)**

S = Satisfactory U = Unsatisfactory

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| **SURVEILLANCE QUESTIONS** | **S** | **U** | **BASIS OF DETERMINATION** |
| 1. Is there a system in place for training personnel, who collect, file, maintain, and dispose of OQE? Is the system for training personnel documented and being followed?
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| 1. Are training records available and are they accurate and complete?
 |  |  |  |
| 1. Do procedures exist for collecting, filing, maintaining and disposing of objective quality evidence (OQE)?
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| 1. Are there procedures for correcting/revising OQE records defined to assure documentation integrity? (e.g. single line, initials, date, etc.) Do the procedures or forms control the format and content of OQE? (e.g. DI-MISC-81020, DI-MISC-80678)
 |  |  |  |
| 1. Are personnel following the procedures, work instructions, test procedures, travelers, etc.? Are records IAW these procedures?
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| 1. Are certifications reviewed for acceptance to contract/specification requirements? Is this review documented?
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| 1. Is the collecting, filing, maintaining and disposing of OQE being performed by personnel responsible for these actions?
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| 1. Does objective quality evidence provide traceability records to support material certification and testing?
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| 1. Are OQE records retained as required by specifications or procurement documents?
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| 1. Is subcontractor provided data or OQE transcribed into the company’s record system?
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| 1. Is the actual certification or OQE from the facility where the inspection or testing was performed maintained and provided to the customer when “original certifications” are required?
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| 1. Is objective quality evidence and radiographic film stored in such a manner to prevent damage, deterioration and loss?
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| 1. If objective quality evidence is stored as electronic media, are safeguards implemented to assure integrity (e.g. access control, revision control, password protection, process for backing up data)?
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| 1. Is objective quality evidence legible, current, accurate and readily available?
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| 1. Are inspection documents properly completed? Are inspection records traceable back to each individual who performed each inspection?
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| 1. Are all certifications being reviewed to ensure certifications apply to the specific material, parts or components offered for acceptance?
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| 1. Are all certifications being reviewed to ensure traceability markings, quantities, and sizes are correct?
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| 1. Are all certifications being reviewed to ensure certifications indicate that the material meets all requirements?
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| 1. Are all certifications being reviewed to ensure each test has been performed?
 |  |  |  |
| 1. Are all certifications being reviewed to ensure results conform to the acceptance criteria where actual values are given?
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| 1. Are all certifications being reviewed to ensure test results are reported as acceptable?
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| 1. Are all certifications being reviewed to ensure, when tests are performed to approved procedures, the revision date and procedure approval is verified?
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| 1. Are all certifications being reviewed to ensure preproduction qualification evidence has been obtained where required?
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| 1. Are all certifications being reviewed to ensure Fraud and Falsification statements (when applicable) are on inspection and test records?
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| 1. Are all certifications being reviewed to ensure if tests are reported but not required, the tests and results do not violate contract requirements?
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| 1. Are all certifications being reviewed to ensure supplier has objective quality evidence to support changes made to a subcontractor’s certification?
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| 1. Are all certifications being reviewed to ensure performance dates show a logical progression (mechanical tests are not performed after final material conditioning)?
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| 1. Are all certifications being reviewed to ensure proper format is used depending on specified requirements?
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| Other Observations |  |  |  |
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| **Overall MPS Results:** | **SATISFACTORY** |  | **UNSATISFACTORY** |  |

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| **Corrective Action Generated?** | **No** |  |  | **Yes** |  |  | **CAR#** |  |

**FOLLOW-UP ACTION REQUIRED?**

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**SUMMARY/NOTES/COMMENTS/CONCERNS**:

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