Product Data Reporting and Evaluation Program (PDREP)

Supplier Audit Program (SAP)

Valid through PDREP Version 5.0.21

19 May 2015

Revision Summary:

Description of Changes
Update Figure 2.2 - To reflect update to require CAGE or DODAAC for searching
Update Figure 3.3 - To show Spell Check Feature
Update Figure 4.1, Para. 4.a - To reflect update to require CAGE or DODAAC for searching
Add Para. 7.1.h - added to describe changes in functionality of the **Back** button
Bold Buttons and Links

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PREFACE

The purpose of this guide is to provide working-level procedures to describe entering, updating, revising and viewing information in the Supplier Audit Program (SAP) Automated Information System (AIS). The AIS was developed to support electronic processing of SAP information.

This guide translates business process requirements into procedures for individuals using the automated SAP process in the Product Data Reporting and Evaluation Program (PDREP). This user guide was prepared by Naval Sea Logistics Center Portsmouth (NSLC PTSMH) in support of a Naval Sea Systems Command (NAVSEA) HQ 04P initiative. NSLC PTSMH is always in a continuous improvement mode to enhance both the AIS and SAP instruction to meet the needs of its customers.

NAVSEA 04P maintains the Supplier Audit Program Instruction that implements the SAP. PDREPs SAP application uses those instructions as a basis for the SAP automated information systems business rules. The instruction is posted on the same web page as this document.

Please address recommended changes for the Supplier Audit Instruction to:
SEA 04P – Supplier Audit Program
Building 197 4w2140
1333 Isaac Hull Ave, SE
Washington Navy Yard, Washington DC 20376
Phone: (202) 781-1458

The PDREP application is accessible via the Product Data Reporting and Evaluation Program home page: https://www.pdrep.csd.disa.mil/

User access and login procedures can be located in the User Access Rules for PDREP. First time PDREP users will need to submit a User Access Request, on the PDREP home page. Click on User Access Request to submit the request. Follow the directions on the following pages to submit the request for access to PDREP.

Requests for changes or improvement to any PDREP applications or NSLC Portsmouth web pages should be submitted to:

Customer Support Desk
Commercial Phone: (207) 438-1690 / DSN 684-1690
FAX: (207) 438-6535, DSN 684-6535
Email: webptsmh@navy.mil

Mailing Address
Naval Sea Logistics Center Portsmouth
Bldg. 153, 2nd Floor, Portsmouth Naval Shipyard
Portsmouth, NH 03804-5000

Online in the PDREP Application
If already a PDREP User, log into PDREP and click on "Submit Feedback" at the top of most web pages.

SUPPLIER AUDIT PROGRAM (SAP)

INTRODUCTION

The Supplier Audit Program (SAP) is a Navy software application that is accessed via the web using the Product Data Reporting and Evaluation Program (PDREP) Automated Information System (AIS). By definition, SAP information is Sensitive but Unclassified (SBU). To protect the security of SAP information, all actual data entered and retrieved using the system is encrypted using the security features incorporated into the web browser. Access to the system requires a browser which supports 128-bit encryption (sometimes referred to as strong encryption, or U.S. only encryption). The Defense Information Systems Agency (DISA) has purchased a DOD-wide site license from Netscape Corporation for products which support this feature. For most personal computers, Netscape Communicator 4.7, or later, is the browser of choice. This is the only browser available for PCs that have been certified by the National Institute of Standards and Technology meeting the 128-bit encryption requirements. Microsoft's Internet Explorer 6.0, or later, claims to meet this requirement, but it has not yet been certified by NIST. Internet Explorer 6.0 with 128-bit encryption can be used to access the database, but each user has to accept responsibility for any security compromises that may occur through its use. More details on browser requirements and security are available at the Naval Sea Logistics Center, Portsmouth, NH web site, https://www.pdrep.csd.disa.mil/pdrep/pdrep.htm.

Supplier audits are focused primarily on process control. They are not intended to take the place of Pre/Post Award Surveys, Product-Oriented Surveys or Quality System Reviews.

The scope is based on the supplier's business and manufacturing capabilities as well as its quality history. Another factor in determining the scope is the auditor's needs. For instance, if procuring bar stock from a supplier, you may only require verification of the following processes: Metallurgical/Chemical Laboratory, Testing, Non-Destructive Testing, Inspection and Testing, Material Control, First Article, Factory Acceptance and Individual Acceptance Testing, Supplier Control of Objective Quality Evidence, and Material Trace. Use the appropriate Supplier Audit Program checklists, located on the Supplier Audit Program Web Page, as a guide for each area.

Checklists used to perform supplier audits are maintained on the same web page as this document. Select applicable checklists based on the scope of the audit.
https://www.pdrep.csd.disa.mil/pdrep_files/report_tools/Supplier/process.htm

Selection of qualified auditors needed for an audit should be based on their expertise in process areas to be reviewed.

Notification

  a. Upon determination that a supplier is to be audited, contact the appropriate Support Point Quality Assurance Representative (QAR) to establish a start date for the audit.

  b. Obtain the company point of contact.

  c. Inform the QAR and supplier of what will be needed prior to conducting the audit (i.e., organizational chart, quality manuals, quality problems and corrective action plans etc.).

  d. Establish a schedule, with supplier concurrence, which shall include the times opening and exit meetings and the daily audit agenda.

  e. Determine if personal protective equipment is required.

Audit Performance

  a. Opening meeting: Meet with supplier representatives for formal introductions and discussion of planned audit activities for the duration of the audit.

  b. Audit: Following applicable checklists, interview necessary personnel and review associated directives and documentation. Record pertinent information on working papers and attach to respective checklists. Meet with audit team members daily to discuss progress.

  c. Exit meeting: Meet with supplier representatives and provide a briefing of audit results. Provide a written draft copy of the audit to the supplier.

Overview Conclusion

Upon return from the audit, input the results of completed checklists into the PDREP web page for the Supplier Audit Program. Provide a formal final Record to the supplier.

1 ACCESSING THE SAP MODULE

a. To enter the SAP module of PDREP, click on the **SAP** link on the left side of the PDREP Main Menu (Figure 1.1). If the **SAP** link does not appear on the users PDREP Main Menu, the user should call the Customer Support Desk. Links on the PDREP Main Menu only appear if the user has been granted access to that module in their user profile. The Customer Support Desk can assist in adjusting profiles to match the user's needs.
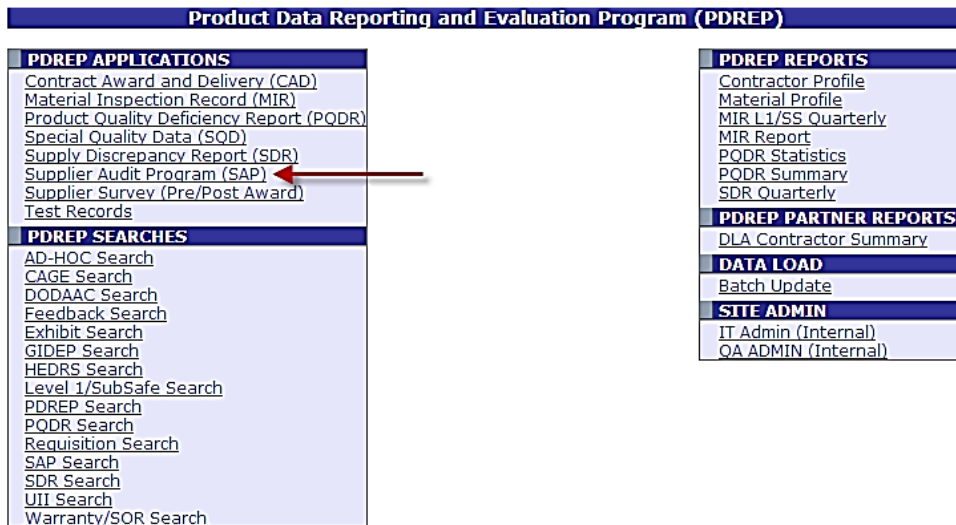
Figure 1.1

b. After Clicking the **SAP** link the SAP web page will appear (Figure 1.2).

Figure 1.2
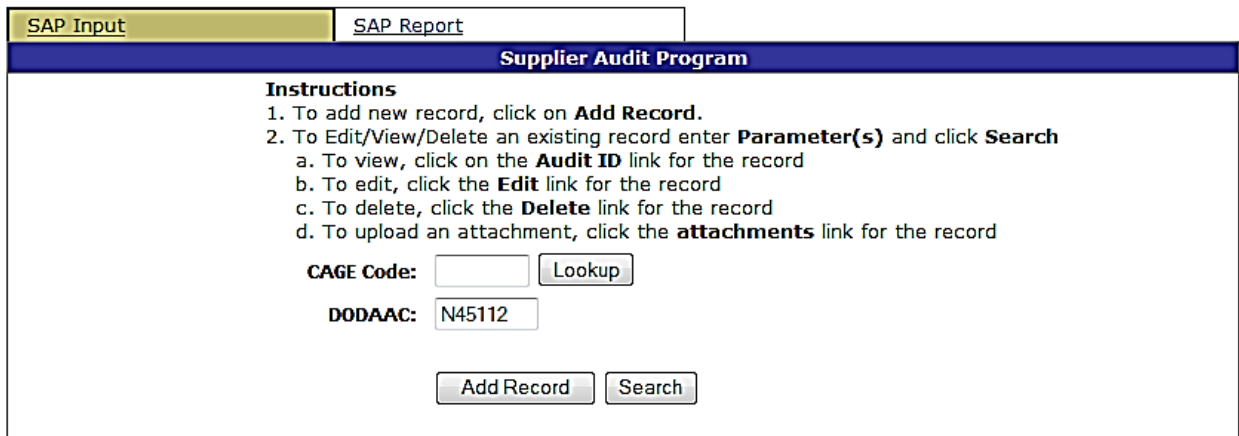
SUPPLIER AUDIT PROGRAM (SAP)

2   ADDING SAP RECORDS

a. To add new record, click the **Add Record** button (Figure 2.1).

Figure 2.1

1. The SAP - Add/Edit page (Figure 2.2 and Figure 2.3) will appear.

2. Clicking the **Cancel** button will close the Add-Edit page and return the user to the SAP interface (Figure 2.1) without saving any changes.

Supplier Audit Program – Add/Edit

Instructions
(M) denotes a mandatory field
(D) denotes a mandatory draft field
1. Enter/modify mandatory field(s)
2. Enter/modify additional information if available
3. Click **Save**
4. Correct format for Date Elements is **MM/DD/YYYY** or use Calendar
5. To cancel the process, click **Cancel**

Save   Add Attachments   Draft   Cancel

(M) CAGE Code: [ ]   Lookup

(M) Audit Type: SAP - SUPPLIER AUDIT PROGRAM ▼

(D) Date Audited: [ ] 🗓?

(D) Audited By: [ ]

(D) Phone: [ ]   **Fax:** [ ]

(M) DCMA Participated?: -SELECT- ▼   **DCMA Audit?:** ☐
       List DCMA Reps

Applicable Contract: [ ]

(M) Supplier Personnel Contacted: (must fill in one)

(M) Name	(M) Title	(M) Phone	Fax

(M) Process List: (select at least one)

01 - METALLURGICAL / CHEMICAL LABORATORY TESTING
02 - HYDROSTATIC TESTING
03 - NON-DESTRUCTIVE TESTING
04 - CALIBRATION

Add Process

(M) Inspection System Indicator:
(select at least one) ☐ ISO 9000   ☐ MIL I 45208   ☐ MIL Q 9858
☐ Other: [ ]

(M) Calibration System Indicator:
(select at least one) ☐ ISO 10012   ☐ ANSI Z540   ☐ MIL STD 45662
☐ Other: [ ]

(M) SupplierProduct/Capability Overview:
(max 2000 characters)

[ ]

(M) Auditor Overall Assessment:
(max 2000 characters)

Figure 2.2

SUPPLIER AUDIT PROGRAM (SAP)

(M) Auditor Overall Assessment:
(max 2000 characters)

[text area]

(M) Audit Results: -SELECT- ▾
Auditor's Date: 06/17/2014

Applicable Corrective Action Report Number(s):

[ ]	[ ]	[ ]
[ ]	[ ]	[ ]
[ ]	[ ]	[ ]
[ ]		

Response Due Date: [ ] [📅?]
(M) Followup Required?: -SELECT- ▾

(M) Deficiency(ies) Requiring Corrective Action:
(max 2000 characters)

[text area]

(M) Corrective Action Complete?: -SELECT- ▾
ALERT - Indicate Systemic Problem: ☐
Alert Date:
Auditor's Notes:
(max 2000 characters)

[text area]

[Spell Check] [Save] [Add Attachments] [Draft] [Cancel]

Figure 2.3

2.1 Add a CAGE to a Record

a. To add a CAGE to a record, perform the following steps:

b. Enter a known CAGE, use the **Lookup** button to find a CAGE, or create a PDREP local CAGE.

Figure 2.4

c. The Lookup feature allows Search based on partial company name or CAGE, or the creation of a new local CAGE (only for use in PDREP).

1. Click the **Lookup** button next to the CAGE Code field (Figure 2.4).

2. The Lookup CAGE Code form displays (Figure 2.5).

Figure 2.5

3. To search for an existing CAGE:

A. Type in the name or CAGE code on which to base the search.

B. Click the **Search** button.

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C. Results will display (Figure 2.6).

D. Click the **Select CAGE Code** button (Figure 2.6) to auto fill the Contractor CAGE code on the SAP – Add/Edit page (Figure 2.7).

Figure 2.6

Figure 2.7

Note: It is highly recommended that users search for any preexisting local CAGE that may be appropriate before creating another new local CAGE.

4. To create a PDREP local CAGE:

A. Users may create a new local CAGE used only within PDREP to identify subcontractors who may not have a CAGE.

B. Click the **Add New CAGE** button available in the Lookup CAGE Code screen (Figure 2.8).

Figure 2.8

C. The following screen displays (Figure 2.9).

Figure 2.9

D. Enter, at minimum, the mandatory information required into the Create CAGE Code screen.

E. Click the **Add** button.

F. To cancel, click the **Cance**l button to return to the SAP – Add/Edit Page.

Note: This CAGE code is only local to PDREP.

2.2 Save Audit as Draft

To save an audit as a draft, click the **Draft** button at any time. Clicking the **Draft** button marks the record as a draft and saves all the data on the page without a complete check of the mandatory fields on the page. The following fields are required to save an audit as a draft:

- CAGE Code

- Date audited

- Audited By

- Phone

2.3 Indicate the participation of a DCMA Representative (Rep)

If a DCMA Rep participated in the Audit, the Rep can be identified and PDREP will auto populate the Rep's information. To select a DCMA Rep that participated, perform the following steps.

a. Select **Yes** from the DCMA Participated dropdown list by clicking on the arrow next to now and selecting Yes (Figure 2.10). **NOTE: In order for a DCMA Rep to be selected, a CAGE code is required and it must be associated with DCMA Reps*.**

b. Click the **List DCMA Reps** button (Figure 2.10).

Figure 2.10

c. Clicking the **List DCMA Reps** button will bring up the following additional fields (Figure 2.11).

Figure 2.11

d. Select a DCMA Rep by clicking in the DCMA Rep List dropdown and clicking on a Rep. The Rep will then be entered into the DCMA Rep List field (Figure 2.12).

Figure 2.12

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e. Click the Auto-fill DCMA info to populate the DCMA Rep, Phone, and E-Mail field from existing PDREP data (Figure 2.13).

Figure 2.13

Note: For DCMA Rep to show up in this field, the Rep's System Command (Syscom) must be 29, Access Level of 72, and the reference Ref. DoDAAC and User Record Act. or DoDAAC must be the Cage Code's CAO.

2.4 Save Process to Audit

a. Select a process from the Process List drop down by clicking on the process, it will then be highlighted (Figure 2.14).

Figure 2.14

b. Click the **Add Process** button.

c. The process table, **Save New Processes** button, and **Cancel Add** button appear (Figure 2.15).

Figure 2.15

d. Enter a Process Audit Date.

e. Select a Result from the Result dropdown window (Figure 2.16).

Figure 2.16

f. Enter a SubContractor CAGE if applicable.

g. To avoid committing the process to the Audit record, click the **Cancel Add** button.

h. To add the process to the audit record, click the **Save New Processes** button.

2.5   Save a Completed Audit:

   a.   Enter/modify all the (M) mandatory field(s).

   b.   Enter/modify additional information if available.

   c.   Click **Save**.

   d.   Correct format for Date Elements is MM/DD/YYYY or use the **Calendar** button.

   e.   To cancel the process, click the **Cancel** button.

Note: Fields with "(M)" are mandatory and must be filled in to save a completed Audit record. A thorough check of the mandatory fields is performed when the Save button is clicked.

3 EDITING, DELETING, OR VIEWING SAP RECORDS

Users can view previously entered records by searching by the DoDAAC or CAGE code. If the CAGE code for a company is not known, users can click the **Lookup** button to find the CAGE. (See Section 2.1.a)

a. Enter the CAGE and/or DoDAAC for the record and click the **Search** button to view records for your Activity. A list of existing records is returned (Figure 3.1). Results can be sorted by clicking the column header once for ascending, twice for descending.

Figure 3.1

b. To view history of a SAP record click on the **View** link in the History and Correspondence column (Figure 3.1). The SAP History page displays (Figure 3.2).

Figure 3.2

c. To view the SAP record, without edit capability, click on the **Audit ID** link (Figure 3.1). The SAP – View displays (Figure 3.3).

Figure 3.3

d. To edit, click the **Edit** link for the record (Figure 3.1). The SAP – Add/Edit form displays (see Figure 2.2). Follow directions in Section 2 to edit the SAP record.

e. To delete an entire Audit, click the **Delete** link (Figure 3.1) for the record. The SAP – View displays (Figure 3.4); a **Delete** button is now available.

Print Cancel

Delete

Supplier Audit Program – View
Date: 02/01/2012

Audit Originator: **Test**   Last Updated:
Audit I.D. No.: N45112 - 2001 024   CAGE Code: #7046
Supplier Name: AB CO, (FOR TESTING ONLY)
Address Audited:

Date Audited: 09/06/2001
Audited By: **Test**
Phone: **Test**   Fax:

DCMA Participated? NO   DCMA Audit?
DCMA Rep.:
Phone: E-Mail:
Applicable Contract:

Supplier Personnel Contacted:

Name	Title	Phone	Fax
Test	Ex. Vice President	**Test**	
Test	QA Manager	**Test**	

Process(es) Audited this Date	Result	Sub-Contractor CAGE
05 - INSPECTION AND TESTING	SATISFACTORY	
07 - DOCUMENT AND DATA CONTROL	SATISFACTORY	
11 - RECEIVING INSPECTION	SATISFACTORY	
16 - PACKAGING AND PRESERVATION	SATISFACTORY	
17 - FINAL / SHIP OUT INSPECTION	SATISFACTORY	

Inspection System Indicator: MIL 1 45208 /
Calibration System Indicator: MIL STD 45662 /

Supplier Product/Capability Overview: Fittings and Valves
Auditor Overall Assessment: Satisfactory
Audit Results: SATISFACTORY
Auditor's Date: 09/21/2001
Applicable Corrective Action Report Number(s):
Response Due Date:
Follow-up Required? NO
Deficiency(ies) Requiring Corrective Action: NA
Corrective Action Complete? YES
Alert-Indicate Systemic Problem:
Alert Date:

Figure 3.4

f.   Click the **Delete** button.

g.   A message box will display asking for confirmation of the Delete. Select **Ok** to confirm
     or click **Cancel**.

h.   If the Delete was confirmed, a PDREP Message will display indicating the record was
     successfully deleted (Figure 3.5). Click the **Continue** link to return to the SAP history
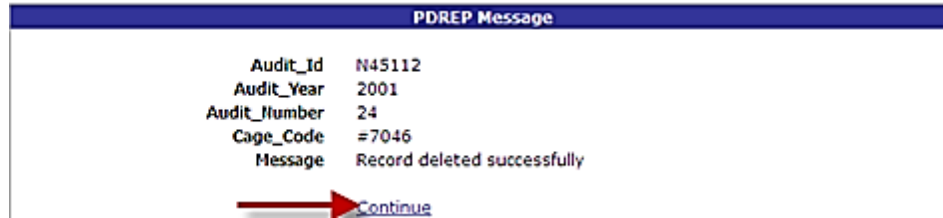   list.

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Figure 3.5

i. To add or view an attachment, click the **Attachment(s)** link (Figure 3.6). The Upload Attachment Listing form displays, reference the on screen instructions and Section 6 of the user guide.
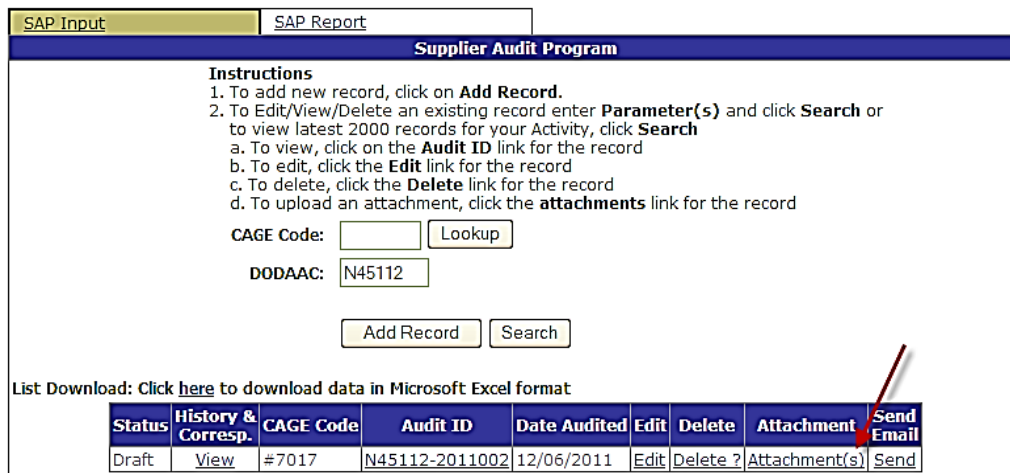

Figure 3.6

j. To send an Email concerning an audit, click the **Send** link (Figure 3.7). The Send Message form displays (Figure 3.8). Follow the on screen instructions.
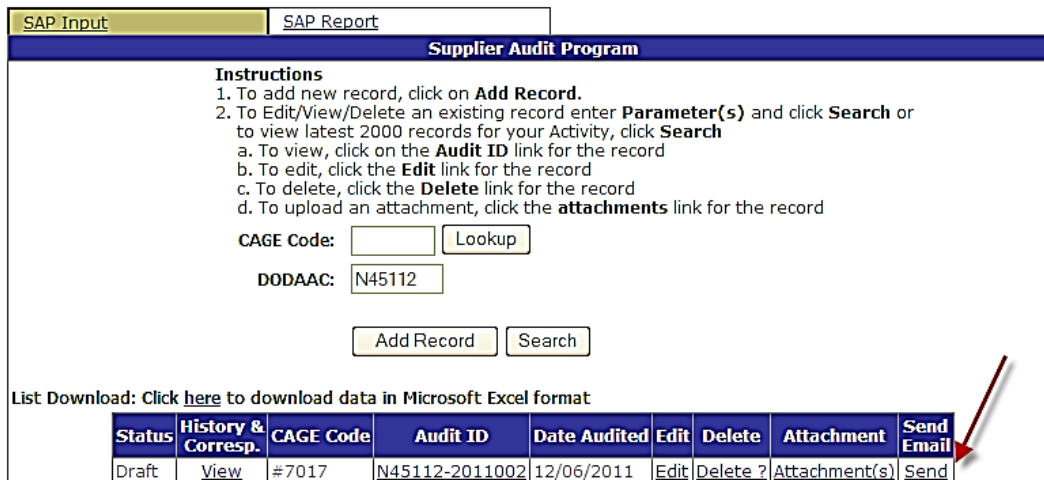

Figure 3.7

SUPPLIER AUDIT PROGRAM (SAP)

Audit Id: TPLAN0-2013005
Company Name: TPLAN - TEST PLAN
Audit Date: 01/01/1980

Send Message

Instructions
(M) denotes a mandatory field
1. **Enter email address of Recipient** or **To Email List** must have an email address.
2. Select an activity from **Add Email to TO/CC** and click on **Get List** button. Select an email address from the list and click **Add TO Email** or **Add CC Email** button to add to the **To Email List** list or **CC Email List** list.
3. If email address is not available in the list to add to the **CC** list then enter the email address in the **CC:** field and click **Add CC Email: CC** button to add to the **CC Email List.**
4. Click on **Send** button to send email.
5. Click **Cancel** to return to previous page

TO:
Add TO Email: TO List

Add Email to TO/CC: <SELECT>   Get List

CC:
Add CC Email: CC List
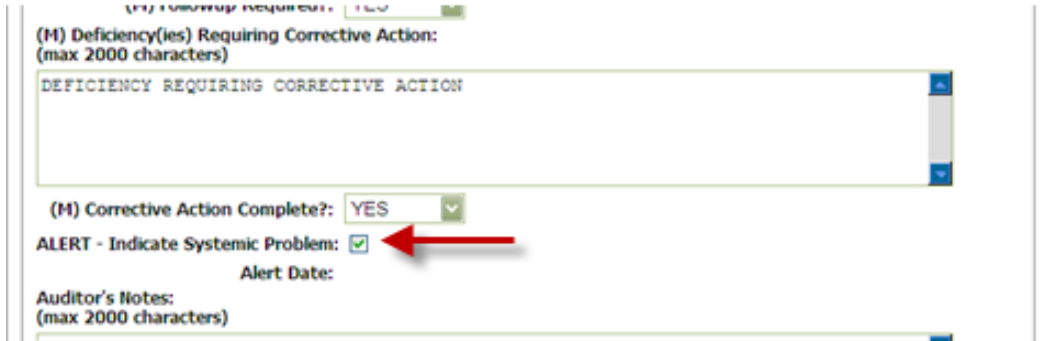
(M) Choose Correspondence Type: SEND A GENERAL MESSAGE

Type Message:

Send   Cancel

Figure 3.8

SUPPLIER AUDIT PROGRAM (SAP)

4   SENDING ALERTS BY EMAIL
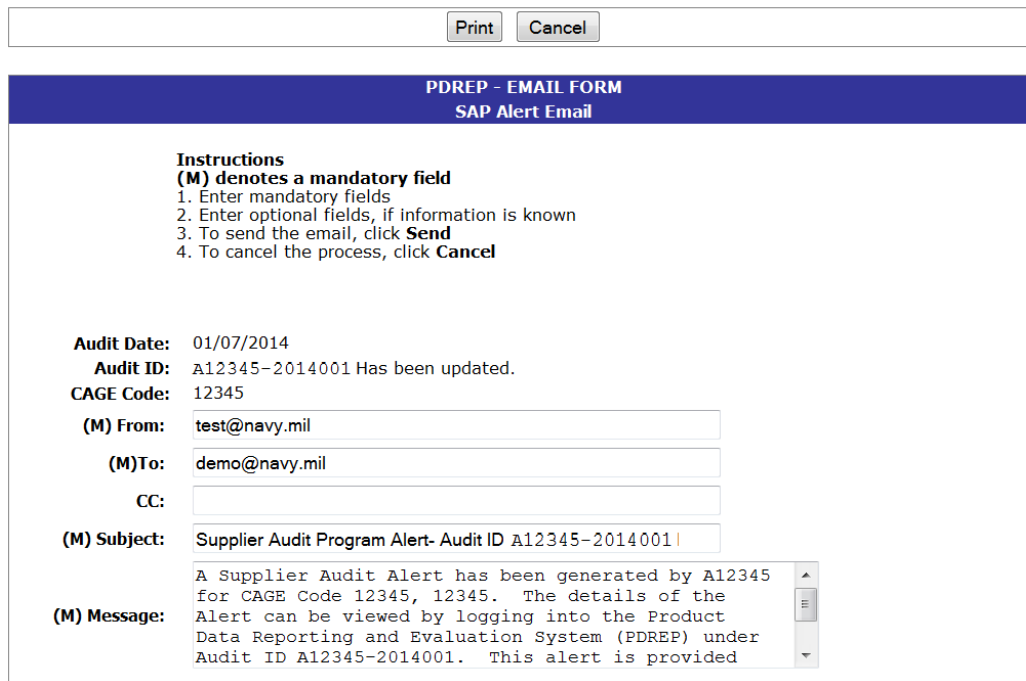
When the SAP - Add/Edit page's Alert - Indicate System Problem checkbox is checked (Figure 4.1), all data is correctly entered on the audit page, and the **Save** button is clicked, the user is automatically navigated to an Email screen (Figure 4.2).

Figure 4.1

Figure 4.2

The email addresses are automatically populated with personnel that have requested to be on the SAP Alert Email notification list. The Subject line and message are also auto populated and may be changed.

    a. Click the **Send Mail** button to forward the email to all recipients listed in the **To**: or **CC:** block.

    b. Click the **Print** button to print the screen.

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c. Click the **Cancel** button to return to the previous screen without sending the email.

Once the email is sent the SAP - Add/Edit page's Alert Date is set to the current date for the audit.

5 ADD ATTACHMENTS

a. To upload an attachment, click the **Add Attachments** button in the SAP - Add/Edit page (Figure 5.1) or click **Attachment(s)** link (Figure 5.2) from the search results list.

Figure 5.1

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Figure 5.2

b.   The Upload Attachment Listing screen displays (Figure 5.3).

Figure 5.3

c.   Click the **Add Attachment** button to select a file to upload.

d.   The Upload Attachment screen displays (Figure 5.4)

Figure 5.4

e.   Click the **Browse** button to select the file to upload.

f.   Enter a Short Name for Attachment.

g.   Enter a Brief Description.

h.   Click the **Reset** button to clear Name and Description data entry fields.

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i.   Click the **Upload Attachment** button to complete the Upload.

j.   To go back to the previous screen, click the **Cancel** button.

Warning: Documents that are uploaded may be manipulated and improperly used unless they are designated 'Read-Only'.

6   GENERATING SAP RECORDS

6.1   Run Record on Pending Audits

a.   Select the SAP Report tab (Figure 6.1).

Figure 6.1

b.   To show all audits planned in the future, select Show Pending Audits Only. Information provided in the Audit Results and Process Results blocks is ignored.

c.   Enter, or select from the calendar, the Start and End Dates. (Correct format for date fields is MM/DD/YYYY).

d.   To run the Record for all processes, place a check in the Select this for '**All Processes**' box.

e.   To run the Record for individual processes, highlight the desired processes in the Process list and click the **Add Processes** button to add them to the Selected Processes list.

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f. To delete a selected process, highlight the process in the Selected Processes list and click the **Delete Processes** button.

g. Click **Run Report** at the bottom of the page. The system will return audits based on the CAGE, Lead Activity or both (if entered).

h. Click the **Back** button in either the "Results List" screen or the "Record" screen will navigate to the previous screen.

Note: At least one Audit Process must be selected to run the Record.

6.2   Run Record on complete audits.

a. Enter, or select from the calendar, the Start and End Dates. (Correct format for date fields is MM/DD/YYYY).

b. Check one or more Audit Results and Process Results.

c. Assure the Show Pending Audits Only checkbox is un-checked.

d. To run the Record for all processes, place a check in the Select this for **All Processes** box.

e. To run the Record for individual processes, highlight the desired processes in the Process list and click the **Add Processes** button to add them to the Selected Processes list.

f. To delete a selected process, highlight the process in the Selected Processes list and click the **Delete Processes** button.

g. Clicking the Alert Only checkbox will filter out all records except those that are actually marked as Alerts.

Note: At least one Audit Process must be selected to run the Record.

h. Click **Run Report** at the bottom of the page. The system will return audits based on the CAGE, Lead Activity or both (if entered).

7 GLOSSARY

Audit ID: Ten position alphanumeric identification number consisting of a six digit DoDAAC, or a five digit CAGE code proceeded by a 0 (zero), a four-digit year (yyyy) and a three-digit serial number.

Audit Lead: Activities that have audit responsibilities identified by NAVSEA. To determine who is the Team Lead refer to the SAP Shared Supplier List maintained by NAVSEA 04P. A link to the list is also available by clicking on the **External Links** link on the top of the page in the PDREP application.

CAGE: Five position alphanumeric Commercial and Government Entity code for the contractor referenced in the record.

DODAAC: Department of Defense Activity Address Code.