



## DEPARTMENT OF THE NAVY

NAVAL SEA SYSTEMS COMMAND  
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IN REPLY REFER TO  
NAVSEAINST 4855.33  
Ser 91Q/002  
19 Feb 97

### NAVSEA INSTRUCTION 4855.33

From: Commander, Naval Sea Systems Command

Subj: APPLICATION OF THE INTERNATIONAL ORGANIZATION FOR  
STANDARDIZATION (ISO) 9000 SERIES QUALITY STANDARDS IN  
NAVSEA PROGRAMS

Ref: (a) NAVSEA ltr 6110 Ser 08S/96-11888 of 11 Jul 96  
(b) OSD memo of 29 Jun 94  
(c) DoN Implementation memo 96-1 of 1 Mar 96  
(d) ASN (RD&A) memo of 27 Jul 94  
(e) ASN (RD&A) memo of 21 Dec 94  
(f) ASN (RD&A) memo of 5 Feb 96

1. Purpose. To define NAVSEA policy on the use of the ISO 9000 international standards in NAVSEA programs.

2. Cancellation. NAVSEA memo 4855 Ser 91Q/014 of 7 Mar 95.

3. Exception

a. This instruction applies to all program offices and field activities operating under Commander, Naval Sea Systems Command with the exception of those procurements under the cognizance of Director, Naval Nuclear Propulsion (SEA 08). Those procurements under SEA 08 authority shall comply with the requirements specified in reference (a).

b. Application of this policy to Naval Nuclear Propulsion Program procurements not specifically under SEA 08 cognizance requires approval of the Director, Naval Nuclear Propulsion.

4. Background

a. ISO standards ISO 9001 - "Quality systems - Model for quality assurance in design/development, production, installation and servicing;" ISO 9002 - "Quality systems - Model for quality assurance in production, installation, and servicing;" ISO 9003 - "Quality systems - Model for quality assurance in final inspection and test;" and their equivalents are the most commonly used commercial quality and inspection standards in the world. These standards are collectively referred to as "ISO 9000." The American National Standards Institute/American Society of Quality Control (ANSI/ASQC) standards Q9001, Q9002 and Q9003 are considered equivalent to ISO 9001, ISO 9002 and ISO 9003 respectively.

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b. The traditional basis for higher level quality requirements in Navy programs has been MIL-Q-9858 or MIL-I-45208. These standards embodied the traditional, detection-oriented Government approach to product quality (i.e., in-process/end item test and inspection). In reference (b) the Secretary of Defense (SECDEF) changed this practice by directing that military standards will not be used in Defense acquisitions when an equivalent commercial standard exists. SECDEF direction allows the use of ISO 9000 series standards as the new baseline for quality systems in Defense procurements. The ISO 9000 standards are based on process controls which, when used effectively, can result in a prevention oriented approach. The Government should also use these techniques in lieu of excessive product inspection, when appropriate.

c. To assist in administering the ISO 9000 series standards, the commercial sector has devised a system of registrar certification. This certification consists of a thorough review and audit of the ISO 9000 based quality system followed by periodic surveys to ensure continued compliance. Third party registration/certification is not required by this instruction and shall not be required in contracts.

d. For the purpose of clarification, in addition to procurements by program offices, this instruction applies to procurements by NAVSEA field activities, including the naval shipyards under control of SEA 07. Procurements by NAVSEA field activities should meet the intent of this instruction. There is currently no SECDEF or SECNAV policy with regard to the internal use of ISO 9000 by naval shipyards or field activities. Policy has been limited to its application on DoD contracts. SEA 07 is currently reviewing internal use of ISO 9000 management systems for naval shipyards and their field activities. If current SEA 07 policy changes, revisions will be forwarded by SEA 07 by separate correspondence.

## 5. Policy

a. In establishing the requirements and implementing a contractor's quality system, the program manager shall ensure that program needs and objectives are met. This applies regardless of the model used as the basis for the contractor's proposed quality system.

b. The ISO 9000 series standards (see paragraph 4, Background) should be the preferred baseline for quality systems for new NAVSEA contracts that require higher-level contract quality requirements (see Federal Acquisition Regulations (FAR) section 46.202-4). ISO 9001 should be used for items that

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encompass design/development, production, installation and servicing. ISO 9002 should be used for items that do not involve design/development effort. Because of its lesser level of detail, ISO 9003 should not be used in NAVSEA contracts that contain higher-level quality requirements.

c. For illustration purposes only, a MIL-Q-9858 program that contains design/development efforts would be comparable to a program that structured its quality program requirements around the quality elements outlined in ISO 9001. Similarly, a MIL-Q-9858 program that did not contain design/development efforts would be comparable to a quality program structured around ISO 9002. Finally, a system based on the elements of ISO 9002, tailored to meet program needs, could be used to provide quality systems similar to those based on MIL-I-45208 requirements.

d. Proposal cost data should identify costs directly associated with the implementation of the ISO 9000 standards and should be reviewed by the program manager and contracting officer to determine the applicability and justification of such costs.

e. MIL-Q-9858 and MIL-I-45208 have been canceled effective 1 October 1996. The use of canceled specifications and standards in procurements and new developments shall be in accordance with reference (c). Also, if a contractor voluntarily cites MIL-Q-9858 or MIL-I-45208 in their proposal, and it is subsequently incorporated in the contract, no waiver is required. The Assistant Secretary of the Navy for Research, Development and Acquisition (ASN RD&A) has provided policy on waivers in reference (d). Reference (e) provides the overall plan for implementing specifications and standards reform within the Department of the Navy.

f. Although not required by SECDEF policy, existing contracts of \$500,000 or more having substantial effort remaining to be performed should be reviewed to determine if it is cost effective to change from a military specification based quality system to the ISO 9000 series standards. In the case of contracts administered by the Defense Contract Management Command (DCMC) where the contractor is performing in support of more than one Government component, this review should be conducted with the participation of DCMC and the other component(s). The quality management system may be considered a candidate for implementation of the single process initiative described in paragraph g, below. Affected contractors should be queried concerning this action. (The value engineering no cost

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settlement approach may be used dependent upon the results of the review and contractor input.)

g. Contractors may submit the quality system as a candidate for the Department of the Navy single process initiative. If an ISO 9000 series standard is used for the basis for a single quality system process, instructions provided in reference (f) shall be used.

h. Program managers and their contracting officers are encouraged to tailor the requirements of ISO 9001 or ISO 9002 to correctly meet the contract requirements and avoid imposing excessive requirements on the contractor. Supplemental quality and specific inspection requirements in addition to those of ISO 9000 will be tailored from those requirements specified by the FAR, Defense FAR Supplement (DFARS), specific program policy (e.g., SUBSAFE/Level 1), or applicable guidance documents such as MIL-HDBK-9000. Program managers may allow contractors to use their existing quality systems (including those based on military standards or specifications) once it has been established that those systems meet the program requirements.

i. The use of the commercial third party registrar certification system is not required by this guidance and shall not be required in contracts. If award is given to a supplier that is already certified by an independent third party registrar, the existence of the third party registration may be used by the program manager as a factor in determining the optimum amount of Government oversight for a contractor's facility. The use of the third party certification should be used with discretion; certification of a quality system does not guarantee a quality product. It is still the responsibility of the program manager to ensure that the product delivered to the Navy meets contract requirements. Government oversight will still be used, the amount of which will be determined by the program manager's assessment of risk to the Government.

## 6. Action

a. Program managers will:

(1) Ensure that new solicitations and contracts meet the requirements set forth in this instruction.

(2) Evaluate existing contracts to determine applicability of changing military quality requirements to ISO 9000 quality systems (see paragraph 5.f).

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b. Deputy Commander, Naval Shipyard and SUPSHIP Management Field Activity Support Directorate shall:

(1) Review the Naval Shipyard Quality Program Manual (QPM) to determine applicability to ISO 9001 quality elements. If necessary, revise the QPM to incorporate the requirements of ISO 9001 and issue to cognizant field activities.

(2) Provide direction to cognizant field activities on ISO 9000 implementation strategy.

  
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