

**NAVAL SEA SYSTEMS COMMAND
WASHINGTON, D.C.**

**SOURCE APPROVAL REQUEST (SAR)
INFORMATION BROCHURE
FOR
SHIPS' CRITICAL SAFETY ITEMS**



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**POINTS OF CONTACT
AND
SAR SUBMITTAL ADDRESS**

Mailing Address for General Comments on this SAR brochure:
Commander Naval Sea Systems Command
1333 Isaac Hull Avenue SE
Washington Navy Yard, DC 20376
ATTN: SEA 05
Critical Safety Items Project Manager

Mailing Address for Vendor Correspondence and for SAR Submittal:
Commanding Officer NSWCCD-SSES
5001 S. Broad Street
Philadelphia, PA 19112
Mark For: Code 924 CSI Project Manager

SAR Evaluation Process Overview

The Source Approval Request (SAR) described in this brochure, shall be prepared and submitted by suppliers who are seeking approval for providing Critical Safety Items (CSI) to the United States Navy. The SAR shall be submitted to the Project Manager's receiving activity at the above Philadelphia address. After the SAR is received and undergoes initial processing, the submitter will receive a notice of confirmation within 15 days of submittal. The confirmation notice will provide contact information for the Technical Warrant Holder(s) assigned to evaluate the SAR. Processing time is expected to require up to 180 days if sufficient information is provided in the initial submittal.

INTRODUCTION

This brochure was created to assist suppliers who desire to provide Ships' Critical Safety Items (CSI). Section 130 of the National Defense Authorization Act for Fiscal Year 2007 established a quality control policy to ensure the quality of CSIs. According to the legislation, the head of the contracting activity for a Ships' Critical Safety Item(s) shall enter into a contract for the procurement, modification, repair, or overhaul of such item only with a source on a qualified manufacturers list or a source approved by the design control activity. This brochure defines the process to be followed in order to become an approved source for producing, manufacturing, distributing, repairing, overhauling or maintaining Ships' Critical Safety Items.

Ship CSIs are defined as:

“Any ship part, assembly, or support equipment containing a critical characteristic whose failure, malfunction, or absence of which could cause a catastrophic or critical failure resulting in loss of, or serious damage to, the ship, or unacceptable risk of personal injury or loss of life.”

Purpose of Seeking Source Approval

CSI sources are **required** to be formally approved **before** they can be awarded a U.S. Navy contract to provide CSIs, or perform work on CSIs. The purpose of submitting this Source Approval Request (SAR) is to initiate the evaluation process to become approved by NAVSEA's Technical Authority.

SOURCE APPROVAL REQUEST PROCEDURES

I. Manufacturers, Producers and Distributors of CSIs seeking approval shall submit the following information as applicable:

1. Company Name, Address & Telephone Number
2. CAGE code
3. Subject part number
4. National Stock Number (NSN)
5. Identification of the system(s) in which the item is used
6. Information establishing if the company previously supplied identical or similar subject item(s)
7. The Quality Manual of the company requesting approval

NOTE: The lack of an adequate quality control program will preclude approval.

8. An overview of the potential sources' quality program capabilities and reporting system including:
 - a. Identify the quality program in use
 - b. How its quality system is applied to the Ship CSIs
9. A brochure or a synopsis outlining the company's capabilities, facilities, and experience including:
 - a. A list of all equipment used (with the accuracy, size, capability, and precision of the identified equipment)
10. Records of Qualifications for the company's key personnel
11. Subcontractor/Sub-vendor Information. Names, telephone numbers, CAGE codes, and addresses of all subcontractors/sub-vendors to be used by the company and subcontractors'/sub-vendors' part numbers, if applicable. The company shall identify any critical processes that are the subject of subcontracts and capabilities of the subcontractors. If requested by NAVSEA, example products shall also be provided for review.
12. Difference between Subject and Similar Items. If the company is requesting approval on the basis of its ability to provide items of similar manufacturing complexity, the company must identify the specific differences in materials, coatings, design, manufacturing processes, operating environment, etc. between the similar item and the subject item.

13. Prior Purchase Orders and Shipping Documents. The company shall provide copies of prior purchase orders from the government or shipbuilders for the subject Ship CSI or similar items. The company shall state when it last supplied the subject item or an item of similar complexity.

NOTE: It is important that documented performance is recent in order to adequately reflect current capabilities.

14. An overview of the potential sources' testing program capabilities and reporting system including:
 - a. What capabilities and equipment exist at the vendor's facilities.
 - b. What capabilities, equipment and processes exist at potential sub contractor facilities (and how the prime contractor will ensure/validate sub contractor testing).
 - c. The results of any prior testing done on its Ship CSI component(s) or similar items.
15. The results of the latest survey performed by a government agency. Surveys include on-site pre-award surveys, post-award surveys, and special surveys.
16. A summary of quality deficiencies experienced by the company in the past three years during the manufacture, repair, overhaul, and maintenance activities.
17. A certification of possession of, or access to, all required special tooling and inspection equipment, proof of calibration, and/or special tooling/test equipment current to the latest drawing revision. If "equivalent" tooling is to be utilized in lieu of the tooling specified, a complete technical description of the tooling is required and must be sufficient to determine equivalency. The company shall specify the availability of in-house test equipment and state whether any test equipment has to be furnished by the government, purchased, or built. The company shall indicate if no special tooling or inspection equipment is required.
18. Subject Item Drawings. The company shall provide technical data required to assemble and test the subject item including:
 - a. Drawings (casting, forging, detail, and assembly)
 - i. If applicable, the subject item drawings shall include references to materials, processes, specifications, and data relating to mandatory and inspection intervals.
 - b. Parts List(s)
 - c. Any unincorporated Engineering Change Proposal (ECP) or Design Change Notice (DCN)
19. Subject Item Specifications.

- a. The company shall provide a complete listing of specifications identified on the subject item drawings and provide a copy of the title page of each military and government specification. The specification title page will be used to verify that the potential source possesses all the required specifications. For all commercial or non-government specifications or standards, the company shall provide the title, specification number, date, and revision information, as well as names of the developer and owner of the specification.
 - b. A company's submittal is limited to specifications related to material control, traceability, packaging, preservation, and handling.
20. Illustrated Parts Breakdown (IPB). The company may provide an illustrated parts breakdown drawing for the Ship CSI component(s). If provided and applicable, it shall list:
 - a. Associated part numbers
 - b. Number of units required per system
 - c. Detail the physical location of the part in the next higher assembly
21. Similar Item Drawings. If the company is requesting approval on the basis of its ability to provide items of similar manufacturing complexity, the company shall provide information detailing the design, manufacturing, and production of the similar item(s). This information includes:
 - a. Drawings (casting, detail, and assembly)
 - b. Configuration
 - c. Parts List(s)
 - i. This information on the similar items should contain the same quality of information as the Subject Item Drawings.
22. Process/Operation Sheets (OP Sheets). The company shall provide a detailed step-by-step account of the procedures necessary in the proper sequence to manufacture the subject or similar item. The sheets shall include:
 - a. Operations number
 - b. Operations description
 - c. Operations tolerance (specification)
 - d. Operations location
 - e. Subcontractors/sub-vendors
 - f. Any other pertinent information necessary to control manufacturing operations.
23. Inspection Methods Sheets (IMS). The company shall provide the actual inspection sheets it has used in production of the subject or similar item including:
 - a. Characteristics to be inspected
 - b. Special instructions
 - c. Acceptability limits
 - d. Inspection tooling/ method
 - e. Frequency/sample size

- f. Actual measured value with certification or signoff by a mechanic or inspector

II. Companies Performing Repair, Overhaul, Maintenance or Modernization of CSIs seeking approval shall provide the following information as applicable:

1. Company Name, Address & Telephone Number
2. CAGE code
3. Subject part number
4. National Stock Number (NSN)
5. Identification of the system(s) in which the item is used
6. Information establishing whether the company previously supplied identical or similar subject item(s)
7. The quality manual of the company requesting approval

NOTE: the lack of an adequate quality control program will preclude approval.

8. A synopsis of the potential sources' quality program capabilities and reporting system including:
 - a. How its quality system is applied to the Ship CSIs
 - b. Identify the quality program in use
9. A brochure or a synopsis outlining the company's capabilities, facilities, and experience including:
 - a. A list of all equipment used (with the accuracy, size, capability, and precisions of the identified equipment)
10. Records of Qualification of the company's key personnel
11. Subcontractor/Sub-vendor Information. Names, telephone numbers, CAGE codes, and addresses of all subcontractors/sub-vendors to be used by the company and subcontractors'/sub-vendors' part numbers, if applicable. The company shall identify any critical processes that are the subject of subcontracts and capabilities of the subcontractors.
12. Difference between Subject and Similar Items. If the company is requesting approval on the basis of its ability to repair, overhaul, modernize, or maintain items of similar complexity, the company must identify the specific differences in

tooling, processes, testing, part function, facilities, etc. between the similar item(s) and the subject item(s).

13. Prior Purchase Orders and Shipping Documents. The company shall provide copies of prior purchase orders from the government or shipbuilders for the subject Ship CSI or similar items. The company shall state when it last supplied the subject item and item of similar complexity.

NOTE: It is important that documented performance is recent in order to adequately reflect current capabilities.

14. An overview of the potential sources' testing program capabilities and reporting system including:
 - a. What capabilities and equipment exist at the vendor's facilities.
 - b. What capabilities, equipment and processes exist at potential sub contractor facilities (and how the prime contractor will ensure/validate sub contractor testing).
 - c. The results of any prior testing done on its Ship CSI component(s) or similar items.
15. The results of the latest survey performed by a government agency. Surveys include on-site pre-award surveys, post-award surveys, and special surveys.
16. A summary of quality deficiencies experienced by the company in the past three years during the manufacture, repair, overhaul, modernization, and maintenance activities.
17. A certification of possession of, or access to, all required special tooling and inspection equipment, proof of calibration, and/or special tooling/test equipment current to the latest drawing revision. If "equivalent" tooling is to be utilized in lieu of the tooling specified, a complete technical description of the tooling is required, and must be sufficient to determine equivalency. The company shall specify the availability of in-house test equipment and state whether any test equipment has to be furnished by the government, purchased, or built. The company shall indicate if no special tooling or inspection equipment is required.
18. Certification of the company's rights to use the technical data (for the subject item) signed by a person authorized to represent the subject item vendor. If proprietary data is involved, the company shall provide a signed statement from the owner of that data that gives the company the right to specifically use the data. This requirement also applies to the use of data the Government possesses, but does not have the right to use in competitive repair, maintenance, modernization, or overhaul.
19. Evidence that the company has the appropriate technical data required to repair, overhaul, maintain, and test the subject item including:

- a. Publication Number, Revision and Date
 - b. Drawings in sufficient detail to support required work
 - c. Certification or other evidence of rights to possess and use the drawings and other required technical data
20. Identification of acceptance test/inspection procedures the company intends to incorporate including independent test labs (including name) the source intends to use
21. Specify if test/repair procedures require development or modification.
22. A detailed repair, overhaul, modernization, and/or maintenance plan that addresses all processes that control, produce, or affect a critical characteristic(s) or critical process(es). Plans must list all processes/steps in the proper sequence, facility requirements, and include all special processes.

III. Existing Sources seeking approval shall provide the following information as applicable:

NOTE: Existing sources are sources that currently deliver or have delivered CSI products or services within the past five years to the Navy Supply System (NAVICP Code 83) or Naval Shipyard.

1. Engineering referrals and approved engineering changes
2. Information regarding technical capability
3. Test results as required by the specification such as First Article Tests or production tests
4. Information regarding proprietary products
5. Corrective Action Reports (CARs) for items similar or identical to the proposed CSI

GLOSSARY

CAGE Code: Commercial and Government Entity Code - A unique identifier for a source of stock system items. This code was previously known as the Federal Source Code for Manufacturers (FSCM).

Critical Safety Item (CSI) - Any ship part, assembly, or support equipment containing a critical characteristic whose failure, malfunction, or absence of which could cause a catastrophic or critical failure resulting in loss of, or serious damage to, the ship, or unacceptable risk of personal injury or loss of life.

Engineering Change: A change to the current approved configuration documentation of an item at any point in the life cycle of an item.

Existing Source: Existing sources are sources that currently deliver or have delivered CSI products or services within the past five years. This includes unapproved sources that have been awarded contracts for CSIs and delivered acceptable products in emergency situations.

Inspection Method Sheets: Sheets used to document the inspection of items produced. Sheets must be certified by an authorized representative empowered to comply with the inspection process.

NAVSEA: Naval Sea Systems Command

PDREP AIS: Product Data Reporting and Evaluation Program Automated Information System is an access controlled internet accessible resource that maintains product deficiency and supplier quality information on materials provided to the Navy. One function of PDREP is to maintain the list of approved CSI sources.

Project Manager: The individual assigned the responsibility of managing technical support effort for the CSI program.

Prime Contractor: A commercial activity contractually engaged to design and/or build and deliver complete platforms, systems or equipment. Often a prime contractor is a point of assembly and integration of other prime contractor's systems and government furnished equipment.

Process/Operation Sheets: Sheets used in manufacturing to reflect the step by step process/operation used to manufacture the complete item. Includes detailed shop sketches.

Purchase Order: The original order with precise accounting and tracking for each item reference on order.

Repair: Necessary preparation, fault correction, disassembly, inspection, replacement of parts, adjustment, reassembly, calibration or tests accomplished in restoring items to serviceable status.

Shipping Documents: Documents related to the movement of items which reflect the point of origin and destination.

Similar Item: Similar items have the same form, fit and function as defined by the National Stock System. These items: would have the same design criteria, the same application and operating parameters, be made from the same material and use the same manufacturing processes.

Source Approval Request Package: A vendor proposal that should include all of the technical data required for a competent manufacturer to manufacture an item, including a Critical Safety Item, to a level of quality that is equal or better than an OEM part.

SUBSAFE: Submarine Safety Program as presented in NAVSEA 0924-062-0010 Provides maximum reasonable assurance of hull integrity to preclude flooding and of the operability and integrity of critical systems and components to control and recover from a flooding casualty.

Technical Data: Data required for the accomplishment of the logistics and engineering processes in support of the contract end item. It includes drawings, operating and maintenance instructions, provisioning information, specifications, inspection and test procedures, engineering and support analysis data, etc.

SOURCE APPROVAL REQUEST CHECKLIST

for

Manufacturers, Producers, and Distributors of CSIs

For a complete description as to what your Source Approval Request (SAR) should contain, refer to the detailed information found in the Source Approval Request Procedures part of this brochure:

A. Cover letter with:

- Your company's name
- Address
- Telephone number
- CAGE code

B. State the category under which your SAR is being submitted (i.e.: Manufacturer, Producer or /Distributor)

- Subject Part number (dash number if applicable) and revision
- NSN
- Identification of system(s) in which items is being used
- Information establishing if company has previously manufactured or delivered an identical or similar subject item(s)
- Provide a copy of your Quality Manual. Update as required.
- A synopsis of the company's quality program capabilities and reporting system
- A brochure/synopsis outlining the company's capabilities, facilities, and experience.
- Records of Qualification for key personnel

- Subject Item Drawings/Specifications
- Subcontractor/Sub-vendor Information
- Illustrated Parts Breakdown
- Difference between Subject and Similar Items
- Similar Item Drawings
- Prior Purchase Orders and Shipping Documents
- Process/Operation Sheets (Op Sheets)
- Inspection Methods Sheets (IMS)
- Testing capability details (as listed in paragraph 14)
- Results of latest survey performed by a Government agency.
- A summary of quality deficiencies in the past three years.
- Certification of possession of, or access to, all required special tooling and inspection equipment, proof of calibration, and/or special tooling/test equipment.
- A complete technical description of the “equivalent” tooling, if applicable.
- Certification of the company’s rights to use the technical data

SOURCE APPROVAL REQUEST CHECKLIST

for
**Companies Performing Repair, Overhaul, Maintenance or
Modernization of CSIs**

For a complete description as to what your Source Approval Request (SAR) should contain, refer to the detailed information found in the Source Approval Request Procedures part of this brochure:

A. Cover letter with:

- Your company's name
- Address
- Telephone number
- CAGE code

B. State the category under which your SAR is being submitted (i.e. Repair/Overhaul/Maintenance/ Modernization or Existing Source)

- Subject Part number (dash number if applicable) and revision
- NSN
- Identification of system(s) in which items is being used
- Information establishing if company has previously repaired, overhauled, modernized or maintained an identical or similar subject item(s)
- Provide a copy of your Quality Manual. Update as required.
- A synopsis of the company's quality program capabilities and reporting system
- A brochure/synopsis outlining the company's capabilities, facilities, and experience.

- Records of Qualification for key personnel
- Evidence that your company has the required technical data
- Subcontractor/Sub-vendor Information
- Identification of acceptance test/inspection procedures
- Difference between Subject and Similar Items
- Specify if test/repair procedures require development or modification
- Prior Purchase Orders and Shipping Documents
- A detailed repair, overhaul, modernization, and/or maintenance plan
- Testing capability details (as listed in paragraph 14)
- Results of latest survey performed by a Government agency
- A summary of quality deficiencies in the past three years
- Certification of possession of, or access to, all required special tooling and inspection equipment, proof of calibration, and/or special tooling/test equipment.
- A complete technical description of the “equivalent” tooling, if applicable.
- Certification of the company’s rights to use technical data

SOURCE APPROVAL REQUEST CHECKLIST

for

Existing Sources

For a complete description as to what your Source Approval Request (SAR) should contain, refer to the detailed information found in the Source Approval Request Procedures part of this brochure:

A. Cover letter with:

- Your company's name
- Address
- Telephone number
- CAGE code

B. State the category under which your SAR is being submitted (i.e.: Existing Source)

- Subject Part number (dash number if applicable) and revision
- NSN
- Identification of system(s) in which items is being used
- Engineering referrals and approved engineering changes
- Information regarding technical capability
- Test results as required by the specification
- Information regarding proprietary products

CERTIFICATION STATEMENT

The following certification must be executed exactly as it appears below, and submitted with each Source Approval Request (SAR) package. The certification must be signed by an officer of the corporation, defined by the laws of the state of incorporation, and by an officer authorized to sign on behalf of the company.

CERTIFICATION

I hereby represent and certify that the technical data that (name of company) intends to use or has used to manufacture (name of actual manufacturer and part number) under any resulting government contract, was obtained or developed in a legal manner and that (name of company) has the right to use the data to manufacture (part number) for the U.S. Government. All applicable specifications required to manufacture this item are in the possession of (name of company).

Signature

Date

Printed Name and Title