DCMA NSEO QUALITY PROCESS REVIEW (QPR) CHECKLIST #36

MATERIAL CERTIFICATION DATA PACKAGE REVIEW

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| **SUPPLIER & CAGE:**  |  |
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| **LOCATION:** |  |
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| **PROCESS REVIEWED:** |  |

**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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| **Process Reviewed By:**  |  |
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| **Date(s) of Review:** |  |
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**Process Concerns and Guidance:**

* Certification includes Certified Material Test Reports (CMTRs), Reports of Test and Inspection (ROTI), and Certificates of Compliance (COC).
* Supplier does not understand all certification requirements.
* All certification/OQE requirements were not identified and documented during contract review.
* Certifications provided stating that they meeting specification requirements when they do not
* Organizations not passing down material certification/OQE requirements to subcontractors
* Organizations not re-testing, re-certifying & re-identifying material after it has been subjected to a process which has altered its chemical or mechanical properties
* Organizations without a procedure for the review of approval of certification documentation packages which are a contract deliverable item
* Certification documentation must comply with the requirements of the material/product specification, **AND**, any and all additional requirements invoked by the contract, DIDs, etc. (e.g., If the specification requires grain size to be reported, it must be present on the certification, whether the customer has requested it or not.)
* Certifications for QQ-N-286G K-Monel have been accepted when they have not contained all required chemical analysis information, as a “value” for Cobalt was not present.
* Chemical analysis certifications from an accredited laboratory have been accepted when the certifications stated material is Grade 2H or 4, but the material was actually Grade 7. (Personnel performing may not have understood or been aware of the Common Requirements identified in both ASTM-A193 and A194, prohibiting this action.)
* All OQE reviews should be conducted going from the requirement document and validating the OQE meets the requirement.
* The traceability documented in the OQE, through all processing of the material, does not meet the requirements cited in the contract and DIDs for material requiring traceability.
* Material certifications and other OQE has been received which contains disclaimers.
* Certification packages have been questioned when the chronology of material, processing, and testing certification documents is not successive.
* Certification packages are submitted which do not contain all contract required documentation.
* Certifications submitted as DID compliant for material properties have stated given testing was performed by another entity.

**A**. **MANPOWER:**

1. Are the personnel performing the review and acceptance of material certification data packages of the appropriate skill/experience level and/or properly training/certified to perform this process and are their credentials in accordance with specification requirements? ***What are the Quality System requirements?***

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1. Is there a system in place for training personnel who review and accept material certification data packages? ***Is the system documented, where is this system documented, and are records of training available?***

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1. What type of training/certification is required to perform this process? Are personnel training records available (review sample) and are they accurate and complete? Is anyone’s certification expired and are they still working in the process?

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1. Are material certification data packages reviewed for acceptance to contract/specification requirements and are records of reviews maintained? ***Who is responsible and is the review documented?***

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1. Is there a system in place for remedial training when errors occur in the review and acceptance of material certification data packages? ***Is the system documented,*** ***where is this system documented, and are records of remedial training available?***

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**B. MATERIALS**:

1. Do certification documents and other Objective Quality Evidence (OQE) (routers, travelers, etc.) support that traceability has been maintained from the material to the material certification test report and other required OQE?

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1. Do certification documents and other OQE (routers, travelers, etc.) indicate that the material traceability codes permanently applied to the material and annotated on test reports are accurate and correct?

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1. Brazing and welding filler materials are not permanently marked. Are the proper traceability markings annotated on the material certification test reports?

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1. Does the supplier perform receipt inspection on vendor supplied materials and OQE to assure that traceability markings are maintained as indicated on material certification test reports?

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1. Does the suppplier review material certification test reports at the time of receipt to ensure they are legible, current, accurate and complete?

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1. Does the supplier verify the contents of material certification test reports against the appropriate specification requirements?

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1. Is material inspected in accordance with a specified sampling plan(s) and is that sampling plan annotated on the material certification test reports as applicable?

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1. Does the contractor review material certification test reports to verify DFARs Specialty Metals clause compliance per the purchase order?

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1. Does all data concerning material verification (chemical and mechanical properties), traceability (material certifications to material markings) and Non-Destructive Test (NDT) material certification test reports meet requirements for material inspected 100%?

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1. Do the material certification test reports forwarded by the manufacturer contain a signed certification from an authorized representative?

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1. Are all the raw materials designated Level 1 or requiring certification, marked with a unique traceability number and do they match the material certification test reports?

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**C. MACHINERY**: **N/A**

**D**. **METHODS**:

1. Does the supplier have an established and documented inspection system and are procedures readily available to personnel? Record QA/QC Manual Number and Date Approved.

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1. Do the supplier’s procedures state inspection frequencies, inspection methods and accept/reject criteria, and is it clearly documented and understood by personnel?

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1. Is there an over check program in effect to confirm worker's or inspector's results on a sampling basis?

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1. Are procedures for correction/revision of material certification test reports defined to assure documentation integrity (i.e. single line, initials, date, etc.)? ***What documents (identifying number & rev) were reviewed?***

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1. Are records documented satisfactorily (in ink utilizing "line thru", initial, and date procedures)?

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1. Are material certification test report requirements, invoked on the prime contractor, also invoked upon all subcontractors supplying Level 1 material?

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1. Does the contractor have written procedures that implement the process of certification data package review?  ***If applicable, list the Reference Approval Number.***

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1. Do purchase orders for raw material specify that the material be traceable to material certification test reports?

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1. Do purchase orders require original mill testing lab material certification test reports to be submitted with material? List the purchase orders reviewed.

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1. Is the actual material certification test report 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 there supplier data available for analysis that can substantiate the effectiveness of this process? ***If so, what does the data indicate about the effectiveness of this process?***

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1. Do procedures or forms control the format and content of material certification test reports? (e. g. DI-MISC81020)

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1. Does the contractor have a system in place to ensure certification data received is from the testing facility, or supported by the testing facility documentation, to prevent the receipt of unsubstantiated, transcribed certification data?

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**E.** **ENVIRONMENT**:

1. Is the area where the review of material certification test reports being performed and stored uncluttered and organized?

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1. Are material certification test reports stored in such a manner to prevent damage, deterioration and loss?

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1. If material certification test reports are 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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**F. PRODUCT EXAMINATION:**

***The QAR must perform a product examination in order to verify the output of the process being reviewed and document the results below. Review a sample of material certification test reports to verify compliance to specifications and contractual requirements. List the records reviewed.***

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| Date(s) Conducted: |  |
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| Product Examination Performed By: |  |
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| Contract Number(s): |  |
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| Part Number(s)/Serial number(s): |  |
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| Part Nomenclature(s): |  |
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| Supplier Personnel Contacted and Titles: |  |
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| Drawing Number & Revision: |  |
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| Lot Size and Sample Size: |  |

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| Characteristics Examined: | # Observations |
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1. Identify the inspection methods (W, I, T, V) used to verify conformance with procedures and standards:

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| **W** |  |  | **I** |  |  | **T** |  |  | **V** |  |

**PE Comments/Concerns**

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| **Overall MPR 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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