

**BY ORDER OF THE COMMANDER
AIR FORCE MATERIEL COMMAND**

**AIR FORCE MATERIEL COMMAND
INSTRUCTION 23-113**



14 DECEMBER 2010

Materiel Management

**PRE-AWARD QUALIFICATION OF NEW OR
ADDITIONAL PARTS SOURCES AND THE
USE OF THE SOURCE APPROVAL
REQUEST (SAR)**

COMPLIANCE WITH THIS PUBLICATION IS MANDATORY

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This instruction implements Federal Acquisition Regulation (FAR) Subpart 9.2 -- *Qualifications Requirements* which is implementing 10 U.S.C. 2319 and 41 U.S.C. 253c, **DoD 4140.1-R, DoD Supply Chain Materiel Management Regulation** and **AFPD 23-1, Materiel Management Policy And Procedures** by prescribing policy and procedures to implement the manufacturing Source Approval Request (SAR) process throughout Air Force Materiel Command (AFMC). It is applicable to any organization which is managing items (both Critical Application/Safety Items – CAIs/CSIs, and non-CAIs/CSIs) for AFMC. While primarily applicable to the Air Force Global Logistics Support Center (AFGLSC), and Air Logistics Centers (ALCs), it would apply to any items managed by weapon system at Product Centers. The Competition In Contracting Act of 1984 (PL 96-369) established requirements to increase competition in defense procurements. The source approval requirements and process described within this instruction are not intended to restrict competition, but rather to provide for consistent application of the process through consistent documentation as required by FAR 9.202. This instruction should be used in conjunction with the joint service Source Approval and Management handbook, but this instruction takes precedent if there are conflicts with the handbook. It is to be used by all AFMC organizations and its contractors to provide war-winning capabilities - on time, on cost. This instruction is applicable to the repair source approval process, but the appendixes, which provide checklists and format, are only applicable to new manufacture. This publication applies to the Air National Guard (ANG). This publication applies to Air Force Reserve Command (AFRC) Units. Ensure that all records created as a result of processes prescribed in this publication are maintained in accordance with AFMAN 33-363, *Management of Records*, and disposed in accordance with the Air Force Records Disposition Schedule (RDS) located at <https://www.my.af.mil/afrims/afrims/afrims/rims.cfm>

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1. Objectives:

1.1. This instruction provides the procedures for qualification of new sources to ensure requests are submitted with complete information and are evaluated thoroughly and consistently. Procedures are being provided to formalize the activities for ensuring appropriate responsible technical oversight of the pre-award source qualification process within AFMC.

2. Policy. It is AFMC policy that:

2.1. The need to identify additional sources to increase competition is a direct outcome of the screening process described in the Defense Federal Acquisition Regulation (DFARS), PGI 217.7506 *Spare Parts Breakout Program* as implemented through AFMCI 23-102, Chapter 12, *The Technical Screening Process*. When the Engineering Support Activity (ESA) identifies pre-award qualifications of a new and or additional source as a requirement, qualification requirements must be generated. A qualification requirement waiver must be generated when it is determined unreasonable to specify the standards for qualification which a prospective offeror (or its product) must satisfy.

Figure 1. Source Approval Request (SAR) Pre-Award Requirements Generation Process.

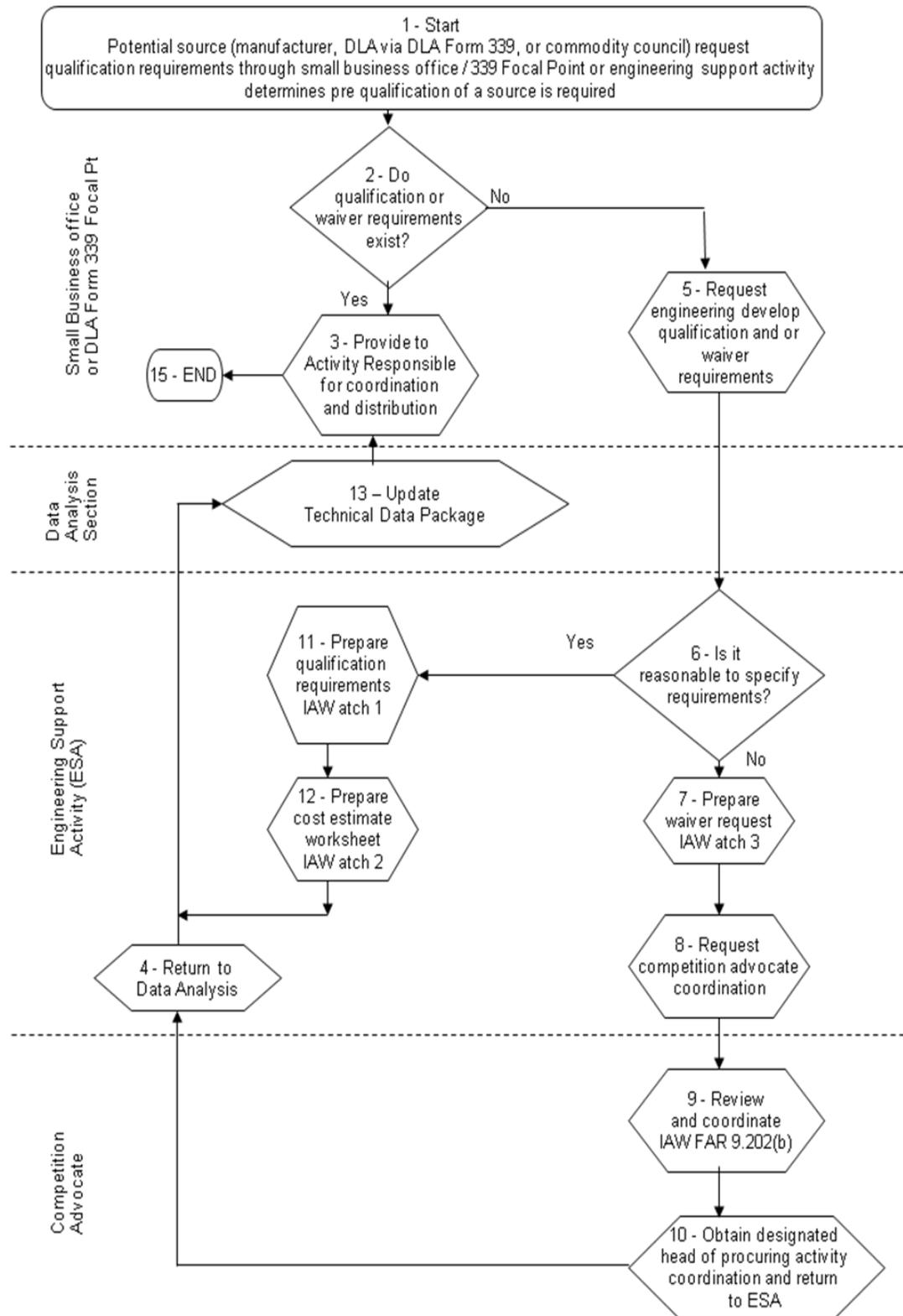
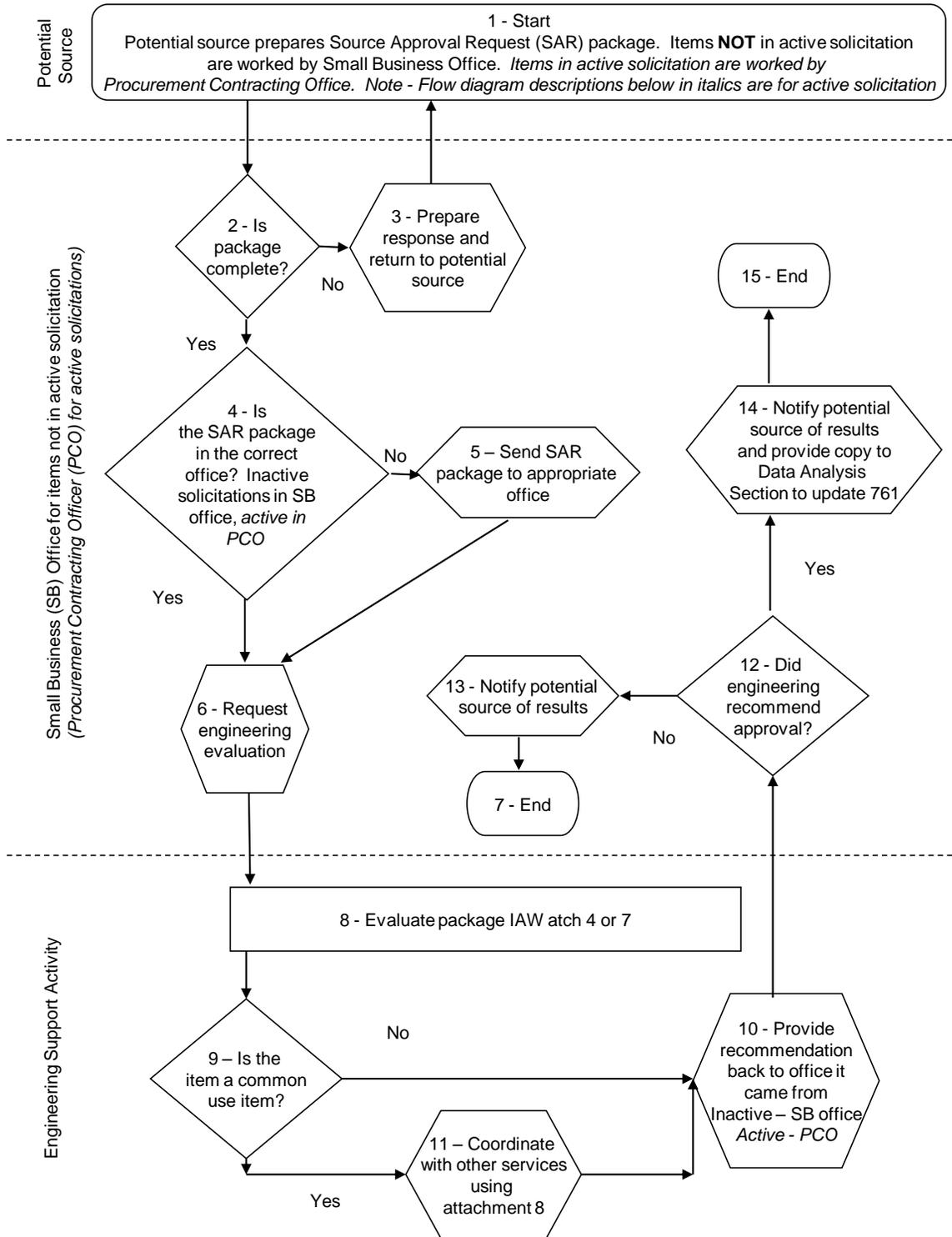


Figure 2. Source Approval Request (SAR) Package Generation and Review Process.



2.2. Establishing pre-award qualification requirements

2.2.1. Figure 1 describes the process to generate qualification requirements.

2.2.2. The ESA will establish the qualification requirements for potential parts being considered. The qualification requirements will be in accordance with FAR 9.2 *Qualification Requirements* and DoD 4120.24-M *Defense Standardization Program, Policy and Procedures*. Qualifications requirements will be documented as described in attachment 2, *Justification for Qualification Requirements*.

2.2.2.1. Prepare pre-award qualification requirements whenever prequalification of a source or its product is required and it has not been determined that it is unreasonable to develop or specify the standards for qualification which a prospective offeror or its product must satisfy.

2.2.2.1.1. The waiver process is available when prequalification is required and it is unreasonable to develop or specify the standards for qualification which a potential offeror or its product must satisfy. Prepare waivers in accordance with FAR 9.202(b) and documented as described in attachment 4.

2.2.2.2. The ESA will assign and document item-criticality (Critical Safety Item (CSI), Critical Application Item, Non-critical), along with critical characteristics, if any, for potential parts being considered. DFARS 209.270-2 defines Aviation CSI. In addition, there may be other definitions tailored to a specific type of weapon system.

2.3. Evaluating source approval packages.

2.3.1. The process depicted in Figure 2 describes the cycle for pre-award qualification requirements by prospective sources, and the subsequent evaluation and disposition of the resultant technical proposals. SARs received from potential sources for items not in active solicitation are processed through the Small Business Office and those received against active solicitations are processed through the Procurement Contracting Officer. Differences between active and inactive solicitations are depicted in figure 2 by the use of italics for active solicitations.

2.3.2. The ESA will evaluate the qualification requirements for potential sources being considered.

2.3.3. A potential offeror seeking approval as a qualified source must meet the specified source qualification statement requirements established by the ESA. The potential source must meet the standards established for qualification before the date specified for award of the contract. Potential sources, at their own expense, with exceptions noted in FAR 9.204(a)(2), will be given an opportunity to demonstrate their abilities to meet the standards specified for qualification.

2.3.4. Common items used in multiple systems must have the coordination of all users, unless that ESA has the documented delegated authority, as required by AFMCI 63-1201, *Implementing Operational Safety Suitability and Effectiveness, (OSS&E) and Life Cycle Systems Engineering* of the users, including the other services. If all AF users approve SAR but other services do not, then a separate NSN shall be initiated for AF use only, if there is a technical or business case for doing so.

2.4. Source Approval Categories -- there are four categories under which SARs will be submitted:

2.4.1. ACTUAL ITEM (Category I) - These SARs are received from suppliers who have manufactured or performed Repair, Overhaul, Maintenance and Modification (ROMM) on the exact item, using Original Equipment Manufacturer (OEM) technical data, for the prime contractor, OEM, another service, civil agencies, foreign governments, or for the civil sector under Federal Aviation Administration (FAA) Parts Manufacturer Approval (PMA) identity. The item will be produced and evaluated against the ESA approved technical data.

2.4.2. SIMILAR ITEM (Category II) - These SARs are received from suppliers who have not previously manufactured or performed ROMM on the subject item, but have manufactured or performed ROMM on items similar in complexity, design, criticality, manufacturing and/or ROMM processes, materials, and application for the prime contractor, OEM, another service, civil agencies, foreign governments, or for the civil sector under FAA PMA identity. The item will be produced and evaluated against the ESA approved technical data.

2.4.3. NEW MANUFACTURER OF ITEM (Category III) - This category covers offerors who do not meet Category I or II criteria but have the OEM's technical data and intend to produce to the ESA approved technical data.

2.4.4. ALTERNATE ITEM (CATEGORY IV) – These are SARs received from an offeror who is proposing an alternate part as the equivalent to the OEM part. These can be reverse engineered, but not reengineered components. Reengineering is the creation of an alternative design or manufacturing process and should be addressed via Engineering Change Process MIL-HDBK-61A, *Configuration Management Guidance*.

2.4.5. FAA PMA approved parts must be submitted under the SAR category that corresponds to how they were approved by the FAA. PMA items approved through identity with licensing agreement should be submitted under SAR Category I, Actual Item. PMA items approved through identity without licensing agreement should be submitted under SAR Category II, Similar Item. FAA PMA items approved under “test & computation” should be submitted under SAR Category IV, Alternate Item as the new design must be verified.

3. Responsibilities:

3.1. HQ AFMC/A4:

3.1.1. Serves as the AFMC OPR for the Source Approval Request (SAR) process for AFMC.

3.1.2. Prepares, coordinates, and issues SAR policy consistent with AF and DoD efforts; ensures processes and procedures are implemented within AFMC.

3.1.3. Coordinates SAR efforts with other DoD activities, federal agencies, and industry.

3.2. Single Manager System Responsibilities:

3.2.1. Responsible for OSS&E implementation, execution, and assurance for their system(s)/end-item(s) as assigned/applicable; may delegate OSS&E authority per AFI 63-1201, *Life Cycle Systems Engineering*. May serve as an Engineering Support Activity (ESA).

3.3. Air Force Global Logistics Support Center (AFGLSC) and other Supply Chain Manager responsibilities: Serves as the ESA for owned/managed items (with the exception of some design unstable and other items as determined) as well as a number of DLA items (as applicable). ESA for AF items is established through delegated/documented agreements with System Program Managers/System Support Managers.

3.4. Engineering Support Activity (ESA) Responsibilities: The ESA is the Chief Engineer (system or item) and Subordinate Lead Engineers/System Engineers delegated with OSS&E authority/responsibility from the single manager.

3.4.1. Determines the need for establishing a qualification requirement per FAR 9.204 (a) and prepares the source qualification requirements statement using attachment 2 as a guideline. Per FAR 9.204 (a)(1), the ESA will ensure that a notice seeking additional sources or products for qualification is periodically published in FedBizOpps. The ESA will maintain a record of each publication. Only those qualification requirements which are least restrictive to meet the purposes necessitating the qualification requirements shall be specified.

3.4.2. Evaluates the source approval request packages and estimates the costs for testing and evaluation which a potential offeror will incur to become qualified using attachment 3 as a guideline.

3.4.3. If unreasonable to specify the pre-award qualification requirements, a two year request for waiver of this requirement (for the development of the pre-award requirements qualification) can be made using attachment 4 as a guideline. Reasons for the waiver may include:

3.4.3.1. Extensive design engineering effort to determine exact requirements.

3.4.3.2. Limited government technical expertise to determine exact requirements.

3.4.3.3. Design instability of the article.

3.4.3.4. 4 The government does not possess either the information or the rights to the engineering data required to develop the qualification requirements and it is cost prohibitive to obtain those rights.

3.4.4. In accordance with FAR 9.202(b) on waiver requirements, the determination must be submitted first to the Competition Advocate for review and comment and then submitted for approval to the designated Head of the Procuring Activity (HPA), or delegee. The procuring activity is defined per AFMC Federal Acquisition Regulation Supplement (AFMCFARS) 5306.501.

3.4.5. Forward the qualification requirement or an approved waiver to the ALC Data Analysis Section and a copy to the requesting organization.

3.4.6. Upon receipt of a source approval request, the ESA will evaluate and determine approval/disapproval of the potential source. The ESA will perform a comprehensive evaluation to determine if the prospective source complies with quantitative and qualitative pre-award qualification requirements.

3.4.6.1. The checklist provided in attachment 5, or tailored as approved by the ESA, will be used to ensure consistent and thorough evaluation for Category I-IV.

3.4.6.2. Common use items require coordination and approval by the other weapon systems or services prior to source approval. A common use item coordination sheet is provided at attachment 7.

3.4.7. Approval of new sources will be contingent upon the ESAs determination (as outlined in paragraph 3.3.6) that the prospective source has satisfied the pre-award qualification requirements. In addition to comprehensive Qualification Testing, submittal of engineering data and evaluation of samples, typical pre-award qualification requirements may include but are not limited to the following elements:

3.4.7.1. Product verification testing.

3.4.7.2. Quality assurance measures.

3.4.7.3. Plant facility reviews and tooling inspection consistent with the new program requirements for Manufacturing Readiness Assessments (MRA's) and Manufacturing Readiness Levels (MRL's).

3.4.7.4. Form, fit, function and interface verification of a part.

3.4.8. If the ESA is planning to consider qualification by similarity, a comprehensive analysis of the differences and the similarities (as opposed to just the similarities) between the item proposed by the prospective source versus the current or original item must be accomplished by the prospective source as a key element of the pre-award qualification requirements and must be evaluated subsequently by the ESA.

3.4.8.1. The comprehensive analysis of the SAR must contain a detailed engineering evaluation of the two items that is reasonably proportioned to the complexity of the current or original item.

3.4.8.2. Typical elements of such an analysis of the SAR include: design features including circuits, components, electrical characteristics, mechanical/physical characteristics, select-at-test components, characteristic-matched components, engineering design shortcuts, grounding, plating, composites, component reliability, sub-assembly integration, manufacturing (comparative capacity assessments, tooling analysis for both new and old, shop floor procedures, work instructions, and process control characteristics as well as how they're managed), limited-life parts availability, obsolescence, test methodology and tested performance as well as form, fit, and function.

3.4.8.3. If correlating experience (qualification by similarity) is useful in determining a potential offeror's ability to meet the qualification requirements, use the information in attachment 2 in the qualification justification to promote the use of Category II submissions. If no correlating experience is applicable, the potential offeror must meet other source qualification requirements defined in attachment 2 through the use of Category I, III, & IV submissions.

3.4.9. If a decision on the manufacturer's request for approval cannot be provided within 30 days (60 days for items not on active solicitation), provide a written response to the requestor (Small Business Office or procurement contracting officer if there is an active solicitation) as to when the evaluation will be complete. When the evaluation is complete, provide a written response to the requestor as to the success or failure of the

potential offeror in meeting the qualification requirements. The system/product engineer will also provide specific reasons for disapproval to the requestor.

3.4.10. Timely update of engineering drawings, as required shall be accomplished by the ESA to add additional source(s) as an outgrowth of approval of SAR proposal packages. Copies of signed/approved/released Engineering Orders (EO) for the item and next higher assemblies shall be provided to the system Equipment Specialist for updating of Technical Orders (TO), as well as cataloging action for new NSN(s). Copies of such EOs shall also be submitted for JEDMICs utilization. More than one P/N (OEM and non-OEM) may be listed under the same NSN. The owning-service IPT may decide to create a new NSN if it is determined to be in the best interests for their program or if upon approval of a Category IV SAR it is determined that a new NSN is needed (i.e. common item not approved by all services). That NSN must then be linked to the sub master NSN to show equivalency, and order of use, and to facilitate competitive procurement of the item if applicable, by appropriate source of supply for the use of the approving service.

3.5. The Procurement Contracting Officer (PCO) (who is part of the Single Manager organization) Duties:

3.5.1. The contracting officer shall follow FAR 9.202(c) if a potential offeror (or its product) meets the standards established for qualification or can meet them before the date specified in the contract. Also, the contracting officer shall follow the FAR 9.202(e) procedures to not delay a proposed award in order to provide a potential offeror with an opportunity to demonstrate its ability to meet the standards specified for qualification. If a Program Manager determines that timeliness of the acquisition will not allow a delay for SAR proposal package evaluation, the PCO will document the supporting rationale in the contract file for that acquisition and provide notification back to the Small Business Office for possible future requirements. The ESA shall continue with the engineering evaluation of the SAR proposal package and take the appropriate actions upon conclusion of the project.

3.5.2. The PCO will forward any source approval packages received in response to a solicitation directly to the ESA for processing. The PCO will also notify the SB Office Source Development Specialist (SDS) and make available a copy of the SAR and final disposition, if requested.

3.5.3. If a SAR is received for a DLA managed item, it should be forwarded to the appropriate DLA center.

3.6. Small Business Office Duties:

3.6.1. In accordance with AFI 64-201, the SDS manages the source development program at the ALCs. If a SAR package is received for an item managed by another Center, it must be forwarded to that Centers SDS, and the responsibilities identified in paragraphs 3.6.1.1 through 3.5.1.6 and 3.5.2 become the responsibility of the Center which manages the item. For items managed by a weapon system at a Product Center, the responsibilities identified in paragraphs 3.5.1.1 through 3.5.1.6 and paragraph 3.5.2 would be the responsibility of the weapon system single manager. Weapon system single managers may apply the following requirements on prime contractors, but the method of

compliance should not be limited by the examples in this instruction. Any requirements applied to prime contractors must be applied through their contract.

3.6.1.1. The SDS acts as the primary liaison with industry on all SAR proposal packages that are not in active solicitation. The receipt of a SAR proposal package from industry is the starting point in the process. If a SAR proposal package is received against an active current acquisition, the SDS will forward the SAR proposal package to the PCO for disposition.

3.6.1.2. The SDS monitors source approval requests, participates in source development surveys and market surveys (not to be confused with a Market Research Report which is a joint effort performed by the ESA, Program Manager, Item Manager, Equipment Specialist, Buyer/PCO and SBS), to include the initiation of sources sought synopses.

3.6.1.3. Upon request by a prospective source/offeror, the SDS explains the pre-award qualification process, provides the pre-award qualification requirements as prescribed by the ESA, and disseminates the resultant SAR proposal packages. See Attachment 6 for a sample SAR format for prospective sources/offerors.

3.6.1.4. The SDS reviews the non-technical aspects of any SAR proposal package received, to ensure compliance with submittal format, presence of relevant documentation and information, then forwards SAR proposal packages to the ESA for evaluation.

3.6.1.5. If the ESA approves a SAR proposal package, SDS will provide the Data Analysis Section a copy of the SAR approval notice for updating of the existing AFMC Form 761, *AMC/AMSC Screening Analysis Worksheet*.

3.6.1.6. The SDS notifies the potential offeror if approved. If disapproved, notify the potential offeror and provide reasons for disapproval.

3.6.2. Sources that were previously qualified and are now determined not qualified will be advised of the reasons in accordance with FAR 9.207. The ESA will provide the Small Business Office a valid, documented reason for requesting removal of the source consistent with the qualification requirements set forth in the written justification for qualification requirements and the specific reason the product no longer meets the specification. The Small Business Office will coordinate on the request and notify the source so that they may take action to become re-qualified. A copy of the notification letter, along with the attachments, will be forwarded to the Competition Advocate, and Data Analysis Section for updating the AFMC Form 761.

3.7. Competition Advocate Duties:

3.7.1. In accordance with FAR 9.202 (b) The Competition Advocate shall review all requests for waiver of the requirement to specify standards for qualification. The Competition Advocate review comments will be forwarded to the HPA or delegee for consideration in the decision to approve or disapprove the waiver request. The procuring activities are defined per AFMC Federal Acquisition Regulation Supplement (AFMCFARS) 5306.501.

3.7.2. At the request of the Small Business Office, the Competition Advocate will also review the justification for disapproved source qualification requests.

3.7.3. Per AFI 63-301, *Air Force Competition and Commercial Advocacy Program* the Competition Advocate tracks competition data to ensure center competition goals, including the objectives of this policy, are met and reported to HQ AFMC on an annual basis.

3.8. Data Analysis Section:

3.8.1. Provides source qualification requirements, as requested and documented by ESA, to Small Business Office.

3.8.2. Maintains current information on source qualification.

3.8.3. Requests ESA prepare a pre-award qualification requirements or waiver if they do not exist and are required.

KATHLEEN D. CLOSE, Major General, USAF
Directorate of Logistics

Attachment 1**GLOSSARY OF REFERENCES AND SUPPORTING INFORMATION*****References:***

Public Law 96-369, *Competition In Contracting Act of 1984* or 10 USC 2304, *Contracts: competition requirements* (f)(5) establishes requirements to increase competition in defense procurements.

Defense Federal Acquisition Regulation Supplement (DFARS) PGI 217.7506 *Spare Parts Breakout Program*, http://www.acq.osd.mil/dpap/dars/pgi/pgi_hm/PGI217_75.htm prescribes the Acquisition Method Codes (AMC) and Acquisition Method Suffix Codes (AMSC) which indicate if the purchase of an item(s) is restricted to known, responsible, or an approved source(s) and the reason for that restriction.

Federal Acquisition Regulation (FAR) Subpart 9.2, *Qualifications Requirements* as supplemented by DFARS Subpart 209.2, *Qualifications Requirements* and DFARS Procedures, Guidance and Information (PGI) 209.2, *Qualifications Requirements* and Air Force Materiel Command FAR Supplement Subpart 5309.2, *Qualifications Requirements* which prescribes the policies and procedures regarding qualification requirements and the acquisitions that are subject to such requirements.

DoD 4120.24-M, *Defense Standardization Program (DSP) Policies & Procedures Appendix 2 Qualification* provides procedures for establishment and maintenance of the qualification requirements.

Abbreviations and Acronyms

AFGLSC—Air Force Global Logistics Support Center

AFI—Air Force Instruction

AFMC—Air Force Materiel Command

AFMCPD—Air Force Materiel Command Policy Directive

ALC—Air Logistics Center

AMC—Acquisition Method Code

AMSC—Acquisition Method Suffix Code

CAGE—Commercial and Government Entity

CAI—Critical Application Item

Cat I—Category I

CDRL—Contract Data Requirement List

CSI—Critical Safety Item

DFARS—Defense Federal Acquisition Regulation Supplement

DoD—Department of Defense

EMP—Electromagnetic Pulse

ESA—Engineering Support Activity
FAA—Federal Aviation Administration
FAR— Federal Acquisition Regulation
HPA— Head of the Procuring Activity
MAJCOM—Major Command
NSN—National Stock Number
OEM—Original Equipment Manufacturer
OPR—Office of Primary Responsibility
OSS&E—Operational Safety, Suitability, and Effectiveness
PCO—Procurement Contracting Officer
PM—Program Manager
PMA— Parts Manufacturer Approval; Federal Aviation Administration
PMAHs— Parts Manufacturer Approval; Federal Aviation Administration Holders
PMS—Production Management Specialist
PQDR—Product Quality Deficiency Report
P/N—Part Number
QWC—Qualification Waiver Criteria
ROMM—Repair, Overhaul, Maintenance and Modification
SAR—Source Approval Request
SDS—Source Development Specialist
TO—Technical Order
USAF—United States Air Force
UID—Unique Identification

Terms

Acceptance Test—A test conducted under specified conditions, by or on behalf of the government, using delivered or deliverable items in order to determine the item's compliance with specialized requirements.

Acquisition Method Code (AMC)—A single digit numeric code, assigned by a DOD activity to describe to the Contracting Officer and other Government personnel the results of a technical review of a part and its substantiation for breakout.

Acquisition Method Suffix Code (AMSC)—A single digit alpha code, assigned by a Department of Defense (DOD) activity which provides the Contracting Officer and other Government personnel with engineering, manufacturing and technical information.

Actual Manufacturer—An individual, activity, or organization that performs the physical material fabrication processes that produce the deliverable part or other items of supply for the Government. The actual manufacturer must produce the part in-house. The actual manufacturer may or may not be the design control activity.

Approved or Qualified Source.—Any potential offeror which has satisfactorily furnished or has formally demonstrated the ability to meet the qualifications established for the spare parts or services, as determined by the responsible engineering activity. Note: A subcontractor, which has previously provided parts through a prime contractor, may be approved when it can be demonstrated that the subcontractor has the ability to meet the qualification requirements.

Cognizant Engineer—The chief or lead engineer as defined in AFI 63-1201, *Life Cycle Systems Engineering* policy or their delegated representative.

Common Use Item—A part, assembly, subsystem, or store used in different military aviation systems or that are unique to a specific aviation system used by multiple military services.

Complete Current Configuration Drawings—Complete set of the latest revision drawings including forging/casting data and all drawings referenced therein, when applicable.

Correlating Experience (Qualification by Similarity)—Previous experience in the manufacture and qualification of articles which can be correlated with the part being procured.

Critical Application Item (CAI)—An item essential to weapon system performance or operation, or the preservation of life or safety of operating personnel, as determined by the military services.

Critical Characteristic—A critical characteristic is one that analysis indicates is likely, if defective, to create or increase a hazard to human safety, result in failure of a weapon system or major system to perform a required mission.

Critical Safety Item (CSI)—A critical safety item means a part, an assembly, installation equipment, launch equipment, recovery equipment, or support equipment for an aircraft or aviation weapon system if the part, assembly, or equipment contains a characteristic any failure, malfunction, or absence of which could cause

- (1) A catastrophic or critical failure resulting in the loss of or serious damage to the aircraft or weapon system;
- (2) An unacceptable risk of personal injury or loss of life; or
- (3) An uncommanded engine shutdown that jeopardizes safety.

Data Certification (Certificate of Law)—A certification statement on company letterhead signed by an authorized binding company official that states the said company has obtained the data by legal means and has the right to use the data for manufacturing purposes.

Design Control Authority—A contractor or government activity having responsibility for the design of a given part and for the preparation and updating of engineering drawings and other technical data for that part. The design control authorities within the product directorates are the weapon system engineers.

Engineering Support Activity (ESA)—The ESA is the Chief Engineer for the item and or system, and his/her delegated lead/system engineers having Operational Safety Suitability and

Effectiveness (OSS&E) authority / responsibility. ESA and cognizant engineering authority are used interchangeably.

FAA—PMA Part—Federal Aviation Administration (FAA) Parts Manufacturer Approval (PMA) approved replacement for an FAA type-certificated part. PMA Holders (PMAHs) must demonstrate to the FAA through identity or test and computation (reverse engineering) that the part is the same or better than the part it seeks to replace.

First Article—An item manufactured after contract award to verify the contractor's capability to produce the item in accordance with the requirements of the contract. Note: First article is a post-contract award process and NOT a part of the pre-contract source qualification process.

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.

Inspection Procedures—An outline of the step-by-step procedures used for the inspection.

National Stock Number—A 13-digit number assigned by the Defense Logistics Information Service (DLIS) to identify each item of material in the federal supply distribution system of the United States.

Non—Conforming Material—The failure of a unit or product to conform to specified requirements for any quality characteristic.

Potential Source—Any potential offeror who wants to be considered as a source for a given part, but who has not yet been approved/disapproved. A source of this type would normally be required to meet prequalification requirements prior to contract award and may also be subjected to production inspection or surveillance if a contract is received.

Prime Contractor—A contractor having responsibility for design control and/or delivery of a system/equipment such as aircraft, engines, ships, tanks, vehicles, guns and missiles, ground communications and electronics systems, and test 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.

Production Sample—A sample item taken from the production line that will be subjected to testing and evaluation to verify that it meets the requirements of the contract.

Purchase Order—The original order with precise accounting and tracking for each item referenced on order.

Qualification Article—An item manufactured prior to contract award to verify a potential offeror's capability to produce the item in accordance with the qualification requirements.

Qualification Requirement—A government requirement for testing or other quality assurance demonstration that must be completed before award of a contract (FAR 2.101 & 10 USC 2319(a)).

Qualification Waiver Criteria (QWC)—A set of guidelines that may be used to determine if part or all of the source qualification requirements may be waived.

Replacement Part—A reverse-engineered part for a military-only application.

Reverse Engineering—The process of developing procurement data by analyzing and testing serviceable spare parts to duplicate the parts as designed. Qualification and proofing requirements are determined by the product directorate engineers and will meet the requirements outlined in this guide.

Spare Parts—A repairable or consumable item purchased as a replacement part for use in maintenance, overhaul or repair of next higher assembly.

Similar Part—Item is similar to item previously provided to the OEM, Air Force, Army or Navy within the last three years. A similar item in this context is one whose design, application, operating parameters, material and manufacturing processes are similar to those of the item for which you are seeking source approval.

Shipping Documents—DD Form 250, *Material Inspection and Receiving Report* or documents related to the movement of items which reflect the point of origin and destination.

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 CSI, to a level of quality that is equal or better than an OEM part.

Source Approval Request Review—A technical and engineering review to determine the viability of a part and vendor for breakout. A review is performed to ensure complete data is available, the vendor is capable, and a complete quality source plan is defined to support the alternate source qualification effort.

Test Procedures—A document that provides a step-by-step description of the operations required to test a specific item.

Value Added—Any technical support or required manufacturing process for system/subsystem parts that the prime contractor or other party provided, which is otherwise not documented or described in operation sheets, drawings, specifications, quality assurance procedures in the technical data package.

Vendor, Supplier, or Subcontractor —An individual, partnership, company, firm, corporation, or association who enters into an agreement with the prime contractor to perform work or furnish supplies- usually the actual manufacturer of a part.

Attachment 2

JUSTIFICATION FOR QUALIFICATION REQUIREMENTS

JUSTIFICATION FOR QUALIFICATION REQUIREMENTS

FAR 9.202(a) Policy and DoD 4120.24-M Defense Standardization Program, Policy and Procedures (or if section A of the below identifies the item as an aviation critical safety item, revise the heading to:)

Qualification Requirements

FAR 9.202(a) Policy as amended by DFARS 209.270-4(a)(2) Procedures

Section A: Item Identification

1. Stock Number (NSN): _____
2. Part Number (P/N): _____
3. Noun: _____
4. Application: _____

Section B: Justification For Establishing a Qualification Requirement and Reason Why Qualification Requirement Must Be Demonstrated Prior to Any Contract Award. (Section B may be documented separately, providing the separate document contains Section A, identification and Section D, signature requirements as identified in this attachment.)

(Identify in this section criticality of part, defining criticality in terms of failure which would result in loss of weapon system or life or extensive secondary damage; complexity of part, special material or manufacturing process; and rationale why requirements must be met prior to any contract awards. Include the hazardous consequence of not performing tests as pre-award qualification test and specify why tests can not be conducted post award. Address only the item circumstances. **Do Not Identify** the particular material, processing procedures, testing, etc. These are to be part of Section C: Qualification Requirements).

For example:

1. Characteristics associated with machining and processing of the components within this assembly can result in product structural or durability degradation. Close tolerance matching of components is required. Special care and attention is required for surface finish, assembly, and sealing of this item to assure compliance with specified acceptance

test requirements.

2. The qualification requirements specified herein are necessary to verify the structural and/or functional integrity and/or fit and form of the item being procured.
3. Failure to procure these items from a fully qualified source can result in structural or functional deficiencies that will compromise the mission capability of the respective weapon system.
4. Completion of the specified pre-contract award qualification requirements will assure the government that the offeror is capable of producing the item in compliance with the applicable technical specification/data and within the schedule and economic constraints of our contracts. There are significant technical and schedule risks which can only be minimized by a completion of the requirements prior to contract award.

Section C: Qualification Requirements That Must be Satisfied to Become a Qualified Source and Qualification Waiver Requirements.

Identify specific detailed requirements for the item, material, processing or test procedures. Limit requirements to least restrictive. Pre-award qualification requirements shall contain comprehensive requirements for ensuring the preservation of the OSS&E-approved configuration baseline. The ESA must take into consideration the risk of performance degradation when new manufacturers attempt to produce replacements for older technology items which they did not design.

Identify any item security restrictions, site survey requirements, and ability to obtain contract security of facility clearance. Identify forging requirements, special tooling, special testing, etc. Identify other means of becoming qualified, such as manufacturing similar item or part for prime contractor and providing verification documentation of such.

For example:

1. ***Prequalification Notice.*** The offeror shall notify the Small Business Office or, if responding to a solicitation, the contracting officer in Center PKs, of intent to qualify as a source for this item.
2. ***Facilities.*** The offeror must certify to the government that he has the required facilities and equipment to manufacture, inspect, test, package, and store the item. The offeror shall make his facilities, equipment, tooling, and personnel available for evaluation and inspection by the government.
3. ***Data Verification.*** The offeror must verify that he has a complete data package. This verification must include a complete list of all drawings and specifications, including change notices, in the offeror's possession. The offeror may also be required to produce copies of the drawings or specifications.
4. ***Manufacture.*** The offeror must manufacture this item to conform to the government

requirements as prescribed within the ESA -approved engineering data package. The offeror must show compliance with Unique Identification (UID) requirements in accordance with DFARS 211.274 as prescribed within the ESA-approved engineering data package. The offeror must provide, at their own expense, data showing the results of all quality, performance, and environmental evaluations conducted by the offeror to show compliance with the government requirements as prescribed by the ESA. The offeror shall also identify its sources for materials and its standards for internally used processes. If the item considered a safety critical item or contains critical characteristics then the offeror must also provide evidence in the form of a management process in which they will manage Critical Safety Items (CSI's) and all of the critical characteristics.

5. Test and Evaluation and/or Verification. The offeror, at his own expense, shall prepare and submit to the design control authority (_____), for their prior approval, a qualification test plan/procedure detailing how he intends to verify compliance with all performance, environmental, mechanical and quality assurance requirements identified by Drawing (______). After completion of the approved qualification testing, the offeror shall be required to submit a complete test report of the results to the design control authority (_____) for their review and approval prior to the contract award. The government retains the right to exercise the option to inspect the testing processes, including on-site witnessing of any or all documented testing. To allow accomplishing this, the offeror shall notify the government at least 30 days in advance of the occurrence of any testing that will be used as a basis for qualification. The offeror's facilities shall be made available for government inspection during these tests.

6. Article Verification. The offeror must provide, at his own expense, a pre-contract award qualification article for evaluation by the government. This article must comply with all of the requirements of Specification Control Drawing (______). This article shall be subjected to a form, fit and function evaluation to demonstrate compatibility with the weapon system and to evaluate the manufacturing capability of the offeror. Successful offerors shall be identified as an approved source for this item. However, successful completion of the qualification testing does not guarantee any contract award. If the offeror is deemed qualified and awarded the contract, a post-contract award first article exhibit may be required to verify production capability.

7. Waiver. Sources who meet any of the following Source Qualification Waiver Criteria (QWC) may apply for a waiver of all or part of the qualification requirements. If a waiver is granted and the offeror is awarded a contract, the offeror may still be required to provide a post-contract award first article exhibit to verify production capability:

QWC1: The potential source submits written certification that the articles have been supplied to the government or original equipment manufacturer (e.g., DD Form 250, *Material Inspection and Receiving Report*, *Purchase Order* invoice, e.g.).

QWC2: The potential source is qualified on the right-hand article and requests to be qualified on the left-hand article. If the right-and left-hand articles are mirror images of each other, then approval can generally be given.

QWC3: A source qualified to provide an assembly is usually qualified to provide subassemblies, major components, and items of that assembly.

QWC4: A source qualified to provide earlier dash numbers of a basic P/N may be qualified to provide other dash numbers of that same basic P/N, provided there is no increase in complexity, criticality, or other relevant requirements.

QWC5: A source qualified to provide a similar or like item can be qualified to provide the required item. However, for approval, the engineering authority must verify that there is no increase in complexity, criticality, or other requirements over that of the similar item. At a minimum, the source shall provide a complete set of drawings for the similar item and written proof, such as purchase orders, shipping documents, etc., to show that the similar item was provided to the original equipment manufacturer or DoD.

QWC6: A source previously qualified to provide an item, but which has been purchased, sold, merged, absorbed, reformed, split, etc., may qualify if it can be established that the qualification is currently with the requester and that the requester has the same or equivalent facilities, tooling, equipment, personnel, and utilizes the original forging, castings, etc., in the manufacturing process.

QWC7: Other

Section D: Signatures

Weapon System or Specific System Engineer
Date

Signature

Engineering Support Activity (*This is the
Date
Head of the Design Control Activity or the
chief/lead engineer in the AF*)

Signature

Chief of Contracting Office
Date

Signature

(note: The Chief of Contracting signature is only required if the qualification requirements being specified are for products that are NOT to be included on a Qualified Products List, or manufactured by business firms NOT being included on a Qualified Manufacturers List per DFARS PGI 209.202. This signature is not required if the item is identified in block A as an aviation CSI per DFARS 209.202(a)(1))

Standardization Office
Date

Signature

(note: The Standardization Office signature is only required if the qualification requirements being specified are for products that ARE included on a Qualified Products List, or manufactured by business firms BEING INCLUDED on a Qualified Manufacturers List per DFARS PGI 209.202.

The authority granted by the signatures for qualification requirement shall not exceed seven (7) years past the last signed date. Qualification requirements shall be examined and revalidated if the last signed date is over 7 years old (FAR 9.202(f)).

Attachment 3

QUALIFICATION REQUIREMENT COST ESTIMATE

QUALIFICATION REQUIREMENT COST ESTIMATE

Estimate the likely cost for testing and evaluation which will be incurred by the potential offeror to become qualified. This is a requirement of FAR 9.202(a)(1)(ii) and 10USC2319(b)(3) (The following categories may not apply in all cases. The product engineer should identify the costs applicable to the project and indicate N/A on all sections that do not apply.)

Section A. Shipping, if required, use DD Form 1654, *Evaluation of Transportation Cost Factors* to develop the information. Refer any questions to the Procurement Contracting Officer for cost estimation. \$ _____

Section B. Dimensional/Electronic Verification. Contact the science/engineering laboratory to obtain cost estimates (bids) for tests such as:

- | | |
|-------------------------------|----------|
| a. Chemical | \$ _____ |
| b. Metallurgical | \$ _____ |
| (1) Destructive | \$ _____ |
| (2) Non-Destructive | \$ _____ |
| c. Dimensional | \$ _____ |
| d. Electronic | \$ _____ |
| e. Mechanical | \$ _____ |
| f. Non-Destructive Inspection | \$ _____ |

Section C. Nuclear Hardness [This includes cost of shock, vibration, and Electro-Magnetic Pulse (EMP)]. Contact Systems Engineering Integration and Test Division for hourly rate. \$ _____

Section D. Form, Fit, Function and Interface. Contact your organizational Production Management Specialist (PMS) to obtain information on the same or similar item where work has been accomplished in the past using AFMC Form 206, **Temporary Work Request.** \$ _____

Section E. Original Equipment Manufacturer (OEM) Qualification Testing (If required) \$ _____

a. **Laboratory Costs** (Costs are directly dependent on the type of testing to be accomplished and the location and duration of the testing. For example, landing gear laboratory testing is normally accomplished on a dynamometer and costs vary from \$25,000 to \$500,000 depending on the depth of testing. Aircraft and missile testing will vary as the requirement dictates and the cost will have to be identified by the source of testing). \$ _____

b. **Flight/Data Reduction & Analysis Costs.** \$ _____

Section F. Travel to Contractor or Test Site (if required) \$ _____

a. Lodging \$ _____

b. Per Diem \$ _____

c. Rental Cars \$ _____

d. Incidentals (Verified) \$ _____

Total: \$ _____

Section G. SAR Package Development/Evaluation Cost: A potential new source's development of a Source Approval (SAR) package may cost as much as \$ _____. In addition, the cost incurred for Government evaluation of their SAR may be as much as \$ _____. Evaluation cost may be born by the government if it is in the best interest of the Government to qualify alternate sources.

Attachment 4

QUALIFICATION REQUIREMENT WAIVER FAR 9.202(b)

Section A. Description of Supplies or Services:

(National Stock Number (NSN), Part Number (P/N), NOUN/Nomenclature, Applicable end item or WEAPON SYSTEM)

Section B. Rationale Supporting Unreasonableness:

(Detailed, specific actions, milestone, or dates) Include considerations as to why it is unreasonable to develop or specify the qualification requirements such as extensive design engineering efforts to determine exact requirements, extensive research to determine exact requirements, limited Government technical expertise in determining exact requirements, design instability of the part. Also consider if the data to define and control reliability limits is or is not available, can such data be obtained and is it possible or not possible to draft adequate specifications for this purpose.

Section C. Planned Corrective Action and Schedule: (if feasible)

(Detailed, specific actions, milestone, or dates)

Section D. Determination: Due to the rationale in Part B above, it is hereby determined that it is unreasonable to develop or specify the qualification requirements for the supplies or services in Part A above.

Engineering Support Activity (*This is the Head of the Design Control Activity or the chief/lead engineer in the AF*)

ALC Competition Advocate

Approval:

Head of Procuring Activity or Designee

Date (*Expires 2 years after approval*)

**Attachment 5
EXAMPLE OF SAR REVIEW CHECKLIST**

Example of SAR Review Checklist						
SAR PACKAGE CONTROL NUMBER:						
<u>RECOMMENDATIONS:</u>						
SUPPLIER:	APPROVAL :		DISAPPROVAL :		CONDITIONAL :	
ITEM:	APPROVAL :		DISAPPROVAL :		CONDITIONAL :	
EVALUATING ACTIVITY:						
DATE RECEIVED:			DUE:		RELEASED:	
SCREENED BY:			ORG:		PHONE:	
EVALUATED BY:			ORG:		PHONE:	
<u>I. TDP INFORMATION</u>						
A: PROPOSED SUPPLIER (NAME/CAGE):			/			
B: SUBJECT ITEM NOMENCLATURE:						
C: SUBJECT ITEM (PRIME/OEM) PART NUMBER / REVISION:			/			

D: ALTERNATE ITEM PART NUMBER / REVISION:					
E: NATIONAL STOCK NUMBER (NSN):					
F: TYPE MODEL SERIES (T/M/S):					
G: NEXT HIGHER ASSEMBLY:					
H: SUBJECT ITEM PRIME CONTRACTOR (NAME/CAGE):		/			
I: ITEM CRITICALITY:					
CRITICAL SAFETY ITEM (CSI): (Y/N)					
CRITICAL APPLICATION ITEM (CAI): (Y/N)					
NON-CRITICAL: (Y/N)					
J: SUBMITTED SAR CATEGORY (Y/N):		CAT I:		CAT II:	
		CAT III:		CAT IV:	
K: IS A DESIGN CHANGE PENDING:					
ABOVE INFO PER (LTR REFERENCE):					
L: SIMILAR ITEM NUMBER(s): (if applicable)					
M: SIMILAR ITEM PRIME CONTRACTOR(s) (NAME/CAGE):		/			

<u>II. PACKAGE INVENTORY</u>						
SAR SCREENER:				ORG/COD E:		
PHONE:				E-MAIL:		
*NOTE AND EXPLAIN ANY PACKAGE INVENTORY ITEMS NOT INCLUDED IN THE SAR						
				(SCREENER INITIAL)		
				YES	NO	N/A
A. Cover Letter						
B. Technical Data Rights Certification Statement						
C. Supplier Brochure & Correspondence						
D. Quality Assurance Documentation						
E. Subject Item Drawings						
F. Subject Item Specifications						
G. Sub-tier Supplier List						
H. Quality History						
I. Similar Item Drawings						
J. Similarities/Differences of Subject/Similar Items						
K. Purchase Orders & Shipping Documents						
L. Process/Operations Sheets (Op Sheets) & Travelers						
M. Inspection Method Sheets (IMS)						
N. Prime Contractor's Quality Rating System Report						
O. Licensee Agreement (if agreement exists)						

P. Value Added (By Prime or OEM)			
Q. Government / Prime Contractor Surveys			
R. Pre-Qualification Test Plans			
S. Test Results			
T. Master Tooling Certifications			
U. Government Quality Assurance Compliance			
V. FAA PMA Letter or Supplement			
W. Alternate Item Source Component Purchase Orders			
X. Statistical Data			
Y. Reverse Engineering Management Plan			
Z. Alternate Application Environment			
NOTES & COMMENTS: (indicate item)			

III. SAR TECHNICAL EVALUATION (evaluator to complete and initial)			
A. COVER LETTER		(EVALUATOR INITIALS)	
	YES	NO	
1. Does the cover letter match the data presented in the package?			
2. Is the supplier willing to provide a technical briefing?			
NOTES & COMMENTS:			

B. TECH. DATA RIGHTS CERTIFICATION STATEMENT		(EVALUATOR INITIALS)	
	YES	NO	
Based upon the data rights certification letter from the proposed supplier:			
1. Did the supplier legally obtain the tech data used in the SAR?			
2. Does the supplier legally have the rights to use the tech data?			
NOTES & COMMENTS:			

C. SUPPLIER BROCHURE AND CORRESPONDENCE	(EVALUATOR INITIALS)		
	YES	NO	
1. Does the supplier have the facilities for the necessary processes?			
2. Are there any special concerns to be noted? (If YES, explain)			
NOTES & COMMENTS:			

D. QUALITY ASSURANCE DOCUMENTATION	(EVALUATOR INITIALS)		
	YES	NO	
1. Is the Quality Assurance Manual (QAM) provided with the SAR package?			
2. Is all QAM referenced documentation (sub-tier procedures, etc.) included?			
NOTES & COMMENTS:			

E. SUBJECT AND ALTERNATE ITEM DRAWINGS			
1. Subject Item Drawings (Only applicable to Cat IV when proposed supplier possesses or utilizes Prime/OEM drawings)			
	(EVALUATOR INITIALS)		
a. Drawing Package	YES	NO	
1) Is a current Parts Lists included?			
2) Are the drawings for the latest revision?			
3) Are all drawings sheets/frames included?			
4) Are all Forgings and/or Casting drawing included?			
5) Are all drawings legible? (If NO, list drawings/sheets/frames required)			
6) Are any drawings marked "SOURCE CONTROLLED" or "SPECIFICATION CONTROL"? (If YES, list below.)			
	(EVALUATOR INITIALS)		
b. Raw Material:	YES	NO	
1) Is the material(s) identified?			
2) List material(s):			
	(EVALUATOR INITIALS)		
c. Item Dimensions:	YES	NO	
1) Top Down Break Down (TDBD) performed? (List missing data.)			
2) Are there any Critical Dimensions marked on the drawing? (If YES, list)			
	(EVALUATOR INITIALS)		
d. Manufacturing/ROMM Processes:	YES	NO	

1) Are any processes controlled by specification or Technical Manuals? (IF YES, list)			
2) Are there any Critical processes? (If YES, list)			
	(EVALUATOR INITIALS)		
e. Special Tooling:	YES	NO	
1) Is there any special tooling required? (If YES, list)			
2) Is the tooling owned by the proposed supplier?			
3) Is the tooling available to the proposed supplier?			
4) Does the proposed supplier have use rights from the prime?			
5) Will the proposed supplier build tooling?			
6) Are drawings available?			
	(EVALUATOR INITIALS)		
	YES	NO	
f. Do any of the data in the SAR contain proprietary statements or markings?*(If YES, list)			
*This is a non-technical issue which the ESA will resolve before contract award.			
NOTES & COMMENTS:			
(EVALUATOR INITIALS)			

2. Alternate Item Drawings (For CAT IV Only)			
	YES	NO	N/A
a. Is a current Parts Lists included?			
b. Are the drawings for the latest revision?			
c. Are all drawings sheets/frames included?			
d. Are all Forgings and/or Casting drawing included?			
e. Are all drawings legible? (If NO, list drawings /sheets/frames required)			
f. Are any drawings marked "SOURCE CONTROLLED" or "SPECIFICATION CONTROL"? (If YES, list below.)			
g. Does the alternate item drawing identify raw materials?			
h. List material(s):			
i. Do the raw materials on the Alternate Item drawing match the subject item drawings?			
j. Top Down Break Down (TDBD) performed? (List missing data.)			
k. Do the dimensions on the alternate item drawing match the dimensions on the subject item drawing?			
l. Are there any Critical Dimensions marked on the alternate item drawing? (If YES, list)			
NOTES & COMMENTS:			

F. SUBJECT ITEM SPECIFICATIONS:	(EVALUATOR INITIALS)		
	YES	NO	N/A
1. List all specifications referenced in drawings (from Section E) (list in comments or attached sheet):			
2. Are all Prime/OEM/Commercial specifications (cover page only) included?			
3. Are all non-Prime/OEM/Commercial specifications in their entirety included?			
4. Are all applicable specifications for all sub-assemblies included?			
NOTES & COMMENTS:			

G. SUB-TIER SUPPLIER INFORMATION:	(EVALUATOR INITIALS)		
	YES	NO	N/A
1. Is a statement provided by the proposed supplier stating that all sub-tier suppliers are Prime/OEM/Government approved?			
2. Is each required specification matched with an approved sub-tier supplier?			
3. Is the proposed supplier certified for the remaining processes?			
NOTES & COMMENTS:			

H. Quality History	(EVALUATOR INITIALS)		
	YES	NO	N/A
1. Is there a summary of Deficiency Reports for the CAGE code provided?			
2. Is there a summary of Deficiency Reports provided for the sub-tier suppliers?			
3. Is there a summary of Deficiency Reports provided for the similar item?			
4. Is a summary of other quality history provided?			
5. Was corrective action for the deficiencies provided? (List any concerns below)			
6. Evaluate summary of QA Deficiency Reports and note any concerns below. If issues noted in summary of deficiency reports, pull and evaluate full Deficiency Reports and analyze.			
7. Have there been any major quality problems with either item? (If YES, identify)			
<p>NOTES & COMMENTS:</p>			

I. SIMILAR ITEM DRAWINGS (For Cat II Only)	(EVALUATOR INITIALS)		
	YES	NO	
1. Is a parts list(s) included?			
2. Are all drawing sheets/frames included?			
3. Are all Forging and/or Casting Drawings included?			
4. Are drawings legible? (If NO, list drawings/sheets/frames required)			
5. Is the material identified?			
List material(s):			
NOTES & COMMENTS:			

J. SIMILARITIES/DIFFERENCES BETWEEN SUBJECT/SIMILAR ITEMS	(EVALUATOR INITIALS)		
(Explain any NO answers), (If multiple similar items submitted, at least one similar item must comply with each question below)	YES	NO	
1. Are the items similar in size/shape?			
2. Are the items similar in function?			
3. Do the items operate in similar environments?			
4. Are the items made of the same material?			
5. Do the items require similar Manufacturing/Inspection/ROMM processes?			
6. Are the items similar in surface finish?			
7. Are tolerance requirements similar?			
NOTES & COMMENTS:			

K. PURCHASE ORDERS and SHIPPING DOCUMENTS	(EVALUATOR INITIALS)		
	YES	NO	
1. Was the order completed within the last 3 years (for CSIs)?			
2. Was the order completed within the last 7 years (for CAIs)?			
3. Is a complete copy of the Purchase Order (including latest amendment) included?			
4. Is a complete copy of Shipping Documents included?			
5. Was the order completed (and not terminated)? (If NO, explain)			
NOTES & COMMENTS:			

L. PROCESS/OPERATION SHEETS (POS/OP SHEETS) and TRAVELERS	(EVALUATOR INITIALS)		
	YES	NO	N/A
1. Is flow of the subject part clearly documented on the traveler?			
2. Are the manufacturing operations detailed and in the proper sequence?			
3. Are ALL operation sheets included? (Travelers or Routers alone are NOT sufficient)			
4. Can the proposed supplier control the special processes required of the item?			
5. Are process/operation sheets complete?			
6. Are proposed process/operation sheets included for a category II package?			
7. Do POS/OP sheet dimensions comply with drawing dimensions?			
8. Were the Process/Op sheets and/or travelers written by proposed supplier?			
a. Are the proposed supplier's name, address, and CAGE on top of every page?			
b. Are sub-tier suppliers identified by name, address, and CAGE in each applicable operation?			
c. Do sub-tier supplier steps clearly identify process or procedure?			
d. Do POS/Op sheets give detailed dimensions, callout specific drawing references, and/or include operation sketches as called out?			
e. For assemblies:			
1) Are sub-component suppliers identified?			
2) Are sub-component suppliers Government approved?			
NOTES & COMMENTS:			

M. INSPECTION METHOD SHEETS (IMS) Explain any concerns below.	(EVALUATOR INITIALS)		
	YES	NO	N/A
1. Are complete IMS included?			
2. Are the IMS detailed and in the proper sequence?			
3. Are IMS dimensions within drawing dimensions?			
4. Are actual measurements noted as well as drawing dimensions? If not, the cognizant Service ESA should verify the data provided on the IMS to ensure that all were required by the prime contractor/other Service. Include findings in comment section below.			
5. Are units of measure called out on IMS?			
6. Are units of measure on the IMS the same as on the drawing?			
7. Does the supplier adequately document inspections?			
NOTES & COMMENTS:			
N. PRIME CONTRACTOR'S QUALITY RATING SYSTEM REPORT	(EVALUATOR INITIALS)		
	YES	NO	N/A
1. Was a Quality Rating from a Prime/OEM provided?			
2. Is the submitted Quality Rating from the past 12 months?			
DATE:			
3. Is the rating satisfactory?			
4. Does the rating show any negative trends? Explain any concerns below.			
NOTES & COMMENTS:			

O. LICENSEE AGREEMENT (If Applicable)	(EVALUATOR INITIALS)		
	YES	NO	N/A
1. Was a Licensee Agreement referenced as a basis for approval?			
2. Will the Prime/OEM retain configuration control of the item?			
3. Does the Licensee Agreement describe that the prime/OEM will provide technical support to the Licensee?			
4. Is the Licensee required to purchase only from Prime/OEM approved suppliers?			
5. Will the prime/OEM provide support in case of a mishap involving a licensed item?			
6. Is the Prime/OEM required to approve Class I ECPs and major deviations/waivers?			
7. Is the Prime/OEM required to approve Class II ECPs and minor deviations/waivers?			
8. Does the License agreement delegate MRB authority? (Explain any concerns below)			
NOTES & COMMENTS:			
P. VALUE ADDED (BY PRIME OR OEM)	(EVALUATOR INITIALS)		
	YES	NO	N/A
1. Did the supplier list any value added that the prime or OEM provides? Explain any concerns below.			
NOTES & COMMENTS:			

Q. GOVERNMENT/PRIME CONTRACTOR SURVEYS:	(EVALUATOR INITIALS)		
	YES	NO	N/A
1. Has a DoD site survey been conducted within the past 7 years? If so, date:			
2. Have there been any other surveys by other government agencies? If yes, who?			
3. Have there been any surveys performed by the prime contractor within the past 7 years? If so, date:			
4. Is a copy of the survey included in the SAR?			
5. Were findings noted?			
6. Were supplier survey results acceptable?			
7. Was effective correction action (CA) taken by supplier?			
8. Is a follow up site survey or Pre-Award survey necessary? (Explain)			
NOTES & COMMENTS:			

R. PRE-QUALIFICATION TEST PLANS	(EVALUATOR INITIALS)		
	YES	NO	N/A
1. Was further testing required? If YES, did the supplier provide test plans?			
2. Were the test plans adequate?			
3. Explain any concerns below.			
NOTES & COMMENTS:			

S. TEST RESULTS	(EVALUATOR INITIALS)		
	YES	NO	N/A
1. Has qualification or other testing already been completed?			
2. Was level of testing adequate?			
3. Were test results provided?			
If yes, were they acceptable?			
NOTES & COMMENTS:			

T. MASTER TOOLING CERTIFICATIONS	(EVALUATOR INITIALS)		
	YES	NO	N/A
1. Is any special tooling required?			
2. If yes, does the supplier possess or have access to the special tooling?			
3. Explain any concerns below.			
NOTES & COMMENTS:			

U. GOVERNMENT QUALITY ASSURANCE COMPLIANCE	(EVALUATOR INITIALS)		
	YES	NO	N/A
1. Can the supplier comply with all quality assurance provisions and testing requirements as listed in the solicitation/contract?			
2. Explain any concerns below.			
NOTES & COMMENTS:			
V. FAA PMA LETTER or Supplement	(EVALUATOR INITIALS)		
	YES	NO	N/A
1. Was the proposed supplier approved by the FAA?			
2. Does the letter show the platform and model that the item was approved for?			
3. Does the using Service(s) use the same or military derivative version of the same platform and model?			
4. Has information been provided which describes the basis for the FAA's PMA approval and is it consistent with the category submitted?			
5. Has the proposed supplier provided design packages and test results?			
6. Is the proposed supplier the actual manufacturer or a dealer/distributor? <i>(note in comments section below)</i>			
7. Has the proposed supplier provided the approved item in sufficient quantity to develop a statistically sound supplier history?			
8. Explain any concerns below.			
NOTES & COMMENTS:			

W. ALTERNATE ITEM SOURCE COMPONENT PURCHASE ORDERS	(EVALUATOR INITIALS)		
	YES	NO	N/A
1. Were the source component parts used for the reverse engineering purchased from the Government? If YES, when:			
2. If parts not purchased from Government, were they purchased from the Prime, OEM, or Government approved supplier? If YES, who: If YES, when:			
3. Were the source component parts purchased to the latest revision of the Prime/OEM data?			
4. Explain any concerns below.			
NOTES & COMMENTS:			

X. STATISTICAL DATA	(EVALUATOR INITIALS)		
	YES	NO	N/A
1. Does the statistical data used to derive the alternate item source design appear acceptable?			
2. Explain any concerns below.			
NOTES & COMMENTS:			

Y. REVERSE ENGINEERING MANAGEMENT PLAN	(EVALUATOR INITIALS)		
	YES	NO	N/A
1. Does the plan included provide acceptable detail?			
2. Does it adequately describe all aspects of the proposed reverse engineering design, materials, critical characteristics, critical inspection processes, and critical manufacturing processes? Explain any concerns below.			
3. Will the proposed plan allow for successful reverse engineering of the subject item? Explain any concerns below.			

NOTES & COMMENTS:

Z. ALTERNATE APPLICATION ENVIRONMENT	(EVALUATOR INITIALS)		
	YES	NO	N/A
1. Was the commercial environment information provided with adequate detail?			
2. Does the commercial application operate in similar environments?			
3. Does the commercial application experience similar loads and/or weights?			
4. Does the commercial application undergo similar safety assessments as would be performed in military environment?			

NOTES & COMMENTS:

IV. ENGINEERING EVALUATION OF SUBJECT ITEM

<u>(evaluator to complete and initial)</u>	(EVALUATOR INITIALS)		
	YES	NO	N/A
A. Are there any known engineering changes (CIDs, ECPs, DCNs, EOs, etc.) proposed but not yet released in-work affecting the item?			
B. Are there any engineering investigations that affect this item?			

(If YES, provide details)			
C. Has the supplier demonstrated the capability to perform and comply with all the special processes and specification required for the manufacture of the item?			
D. If item C is NO, has the proposed supplier listed prime approved sub-tier suppliers?			
E. Are there any performance characteristics, which cannot be verified by Non-destructive Inspection (NDI)/NDT?			
F. Are all critical characteristics and processes IDENTIFIED?			
G. Would you specify any substantiation or qualification requirements for this item? (If YES, identity)			
H. Evaluate the potential failure modes and the effect of each in COMMENTS below.			
I. Are there any other matters of concern? (Identify)			

NOTES & COMMENTS:

PACKAGE CONTROL NUMBER:

CONCLUSIONS & RECOMMENDATIONS:

NOTE: Use additional comment sheets as needed.
The reviewing activity may add any information deemed necessary.

Attachment 6

SOURCE APPROVAL REQUEST CONTENTS CHECKLIST

Source Approval Request Contents Checklist

6.1. Purpose

The purpose of this Exhibit is to provide additional guidance for preparing a Source Approval Request (SAR).

6.2. Definitions

This information pertains to items identified as requiring source approval. These alternate source approval procedures apply only to new, manufactured items. This exhibit does not address ROMM or surplus items.

1. A CSI, as defined in Public Law 108-136 ~~–National Defense Authorization Act for Fiscal Year 2004~~, Section 802, Quality Control in Procurement of Aviation Critical Safety Items and Related Services, is:

"A part, assembly, installation equipment, launch equipment, recovery equipment, or support equipment for an aircraft or aviation weapon system if the part, assembly, or equipment contains a characteristic any failure, malfunction, or absence of which could cause:

- a catastrophic or critical failure resulting in the loss of or serious damage to the aircraft or weapon system;
- an unacceptable risk of personal injury or loss of life; or
- an uncommanded engine shutdown that jeopardizes safety."

1. DoD-STD-2101 defines a critical characteristic as:

"A characteristic that analysis indicates likely, if defective, to create or increase a hazard to human safety, or to result in failure of a weapons system or major system to perform a required mission."

A CAI, as defined in the Multi-Service/Defense Agency CSI Instruction is: ~~–An item that is essential to weapon system performance or operation, or the preservation of life or safety of operating personnel, as determined by the military services.~~"

6.3. Guidance

a. For items not coded full and open competition, only those sources previously approved by the Government will be solicited. The time required for approval of a new supplier is normally such that award cannot be delayed pending approval of the new source.

If a potential offeror can demonstrate to the satisfaction of the contracting officer that the potential offeror (or its product) meets the standards established for source approval or can meet them before the date specified for award of the contract, a potential offeror may not be denied the opportunity to submit and have considered an offer for a contract solely because the potential offeror is not currently approved.

Please note that if evaluation of the source approval request cannot be processed in time to meet logistics support requirements, award will be made to a currently approved source. The request can still be processed for consideration against future requirements.

The submission of complete documentation as specified in this guide is essential for consideration of the source approval request. If the documentation is inadequate or incomplete, the submitter will be notified of deficiencies for potential resubmittals.

b. Source Approval Categories -- there are basically four conditions under which Source Approval Requests (SARs) will be categorized:

1. **SAR Category I, Actual Item**. - These SARs are received from suppliers who have manufactured or performed ROMM on the exact item to the OEM technical data for the prime contractor, OEM, another service or, a civil sector under FAA PMA identity. The item will be produced and evaluated against the ESA approved technical data package.
2. **SAR Category II, Similar Item**– These SARs are received from suppliers who have not previously manufactured, repaired, or overhauled the subject item, but have manufactured or performed ROMM on items similar in complexity, design, criticality, manufacturing/repair/overhaul processes, materials, and application for the a) Prime Contractor, OEM, or another service using OEM data, or b) civil sector under FAA PMA based on identity. The item will be produced and evaluated against the ESA approved technical data package.

3. **SAR Category III, New Manufacturer of Item** - This category covers offerors who do not meet Category I or II criteria but have the OEM's technical data and intend to produce to the ESA approved technical data package.
4. **SAR Category IV, Alternate Item** - These are SARs received from an offeror who is proposing an alternate part as the equivalent to the OEM part. These can be reverse engineered, but not reengineered components. Reengineering is the creation of an alternative design or manufacturing process and should be addressed via Engineering Change Process MIL-HDBK-61A, *Configuration Management Guidance*. Reverse engineering is discussed in more detail in Section 1.9 and in Chapter 4 of the main body of this Handbook and may require a new NSN be assigned. Alternate items may only be considered when the Sourcing Handbook Section 1.9 criteria are met.

c. If a dealer/distributor (non-manufacturing source) of the item is seeking approval as a source, the category to which the actual manufacturer belongs will apply for purposes of approval procedures. This is because the Dealer/Distributor is not approved as an approved source, but rather as an authorized Dealer/Distributor to an approved source. The actual manufacturer is defined as that supplier with plant equipment and personnel to manufacture, on the premises, the item for which approval is requested. Therefore, the name, address and Commercial and Government Entity (CAGE) code of the supplier (actual manufacturer) is required and must be provided for consideration of source approval together with all data supporting the category for which approval applies. Approval of a dealer/distributor is based upon the traceability to an approved source and approval of the dealer/distributor will be removed from the approved source list if the distributor changes their proposed source after approval. **The source evaluation/approval procedures apply only to newly-manufactured items. Surplus offers are not covered by these procedures.**

d. To reduce the time required for processing a SAR, it is important for the potential supplier to provide ALL of the required information when submitting a SAR. Submission of a complete SAR is the best method for obtaining timely review. Additional information, documentation and/or samples may be required for any SAR category to allow for further evaluation of the submitting company's request; however, the submission of the requested information does not guarantee approval. In some cases, qualification parts may be required as determined by the technical evaluation to be used for testing which may include, but not be limited to, performance and/or endurance testing. Regardless of the SAR category, a site survey of the facility may be conducted to further evaluate the requestor's capabilities.

e. A SAR package should be submitted for one (1) part or assembly per request. However, a supplier may request permission from the ESA to submit one SAR for a family of parts made to the same drawing or specification.

f. The SAR information and documentation can be submitted in two formats, Compact Disk (CD) or hard copy. The preferred method for SAR documentation is digitally on

CD. If the data are submitted via a contractor produced CD, it can only be accepted in .PDF format.

NOTE: Many suppliers consider this information competition sensitive and have been reluctant to disclose. DoD personnel will ensure that adequate safeguards are taken to prevent this or any other proprietary data from being disclosed to third parties.

g. FAA PMA approved manufacturers must submit their SAR under the appropriate SAR category. PMA items approved through identity where the supplier has manufactured the actual item should be submitted under SAR Category I, Actual Item. PMA items approved through identity where the supplier has manufactured a similar item, should be submitted under SAR Category II, Similar Item. Suppliers who have PMA approval for the subject part by identity but have never actually manufactured the subject item or a similar item should be submitted under SAR Category III. PMA items approved under "test & computation" should be submitted under SAR Category IV, Alternate Item as the new design must be verified.

6.4. CSI Source Approval Request Contents Checklist.

Category I: Actual Item

Category II: Similar Item (Equivalent)

Category III: New Manufacturer of Item

Category IV: Alternate Item

SAR Element	Required Element Description	CAT I	CAT II	CAT III	CAT IV
*	A TABLE OF CONTENTS IS REQUIRED FOR ALL SARs				
A	Cover Letter	X	X	X	X
B	Technical Data Rights Certification Statement	X	X	X	X
C	Supplier Brochure & Correspondence	X	X	X	X
D	Quality Assurance Documentation	X	X	X	X
E	Subject Item Drawings	X	X	X	X
F	Subject Item Specifications	X	X	X	X
G	Sub-tier Supplier List	X	X	X	X
H	Quality History	X	X	X	X
I	Similar Item Drawings		X		
J	Similarities/Differences of Subject/Similar Items		X		

K	Purchase Orders & Shipping Documents	X	X		X
L	Process/Operations Sheets (POS/Op Sheets) and Travelers	X	X	X	X
M	Inspection Method Sheets (IMS)	X	X	X	X
N	Prime Contractor's Quality Rating System Report	X	X	X	X
O	Licensee Agreement (if agreement exists)	X	X	X	X
P	Value Added (By Prime or OEM)	X	X	X	X
Q	Government / Prime Contractor Surveys	X	X	X	X
R	Pre-Qualification Test Plans	X	X	X	X
S	Test Results	X	X	X	X
T	Master Tooling Certifications	X	X	X	X
U	Government Quality Assurance Compliance	X	X	X	X
V	FAA PMA Letter or Supplement (If PMA applicable)	X	X	X	X
W	Alternate Item Source Component Purchase Orders				X
X	Statistical Data				X
Y	Reverse Engineering Management Plan				X
Z	Alternate Application Environment				X

1. A description of the company's quality program (i.e., MIL-I-45208, MIL-Q-9858, ANSI/ISO 9000 series documents, AS9100 and the identification of the reviewing/approving organization and date for the quality program).
2. If available, provide a list of relevant certifications (i.e. NADCAP), such as casting/forging, plating, grinding of high-strength steel, NDI, etc.
3. A statement that the contractor is willing to provide a technical briefing on the SAR package submittal to the procuring activity or at any of the cognizant Service Engineering Support Activities (ESA's) if required.

B. TECHNICAL DATA RIGHTS CERTIFICATION STATEMENT – This is a certification of rights to use technical data in the format provided below, signed on company letterhead signed by an authorized binding company official. This is a certification that the data were obtained by legal means and the company has the rights to use the data supplied in the SAR for manufacturing purposes. If proprietary data are involved, a statement from the owner of that data that conveys the rights to specifically use that piece of data must be provided.

NOTE: This also applies to the use of data the Government possesses but does not have the right to use in competitive manufacturing.

The following is an example of a technical data rights letter.

EXAMPLE: TECHNICAL DATA RIGHTS CERTIFICATION LETTER

I am an officer and employee of the above name legal entity with the responsibility for investigating the facts upon which this certification is made.

To the best of my knowledge and information obtained from my recent investigation:

a. *I certify that the technical data submitted as a part of my company's request for approval as potential source for the purpose of obtaining a contract were obtained by legal means by my company, without breach of any contractual or confidential relations pertaining to said technical data by my company, its current or recent employees; and*

b. *I certify that my company, its current or recent employees did not obtain or receive any technical data marked with a company's proprietary rights legend or a Government limited rights legend from any U.S. Government's agency or employee or other third parties that were used in the preparation of or were incorporated into the request for approval or its supporting technical data other than as described herein; and*

c. *I certify that my company has the legal right to use said technical data to manufacture the below identified part for the United States Government. To the extent that said technical data are marked with a company's proprietary rights or a Government limited rights legend or are otherwise believed to be or have in the past been the proprietary data of another company, the following documents which are attached hereto and made a part of the certification have formed the basis for claiming legal right to use said technical data. Such documentation must clearly cover the data necessary for source approval.*

THIS CERTIFICATION CONCERNS A MATTER WITHIN THE JURISDICTION OF AN AGENCY OF THE UNITED STATES AND THE MAKING OF A FALSE, FICTITIOUS, OR FRAUDULENT CERTIFICATION MAY RENDER THE MAKER SUBJECT TO PROSECUTION UNDER THE TITLE 18, UNITED STATES CODE, SECTION 1001.

THIS CERTIFICATION APPLIES TO:

NSN _____ P/N _____

Note: If SAR package is for multiple NSNs, all NSNs must be listed.

(signature) _____ *(date)* _____
(typed or printed name & title) _____

C. SUPPLIER BROCHURE AND CORRESPONDENCE - A company brochure and a synopsis outlining the applicant firm's capabilities, facilities (such as location, number of buildings, sq footage, etc), experience, and equipment list should be provided. For all equipment used in the manufacture of the qualification part, outline the accuracy, size, capability and precision of the equipment. This information should be updated as facility and facility operations change. As a potential source for parts, the proposed supplier and its sub-tier suppliers may be required to demonstrate adequate engineering expertise and

manufacturing/production capabilities to manufacture, inspect, and test the subject component/item/assembly in accordance with all applicable drawings, material, process, and test specifications. An onsite inspection of these elements may be required by the Government or its designee.

D. QUALITY ASSURANCE DOCUMENTATION - Provide a synopsis of the proposed supplier's quality program capabilities and reporting system. A copy of the company's quality assurance manual and all referenced documentation must be provided. Quality assurance documentation should include a listing and copies of any independent approvals and certifications of quality programs, special manufacturing processes, etc. If provided electronically (preferred), it is requested in .PDF format. A copy of the supplier's QA manual and all referenced documentation may be kept at the procuring activity.

E. SUBJECT ITEM DRAWINGS - Provide all data required to manufacture, assemble and test the subject item. The subject item drawings typically include references to materials, processes, specifications, and may include data relating to mandatory inspections and inspection intervals. In addition to drawings (casting, forging, detail, assembly, source controlled, masters, airfoil data, schematics, etc.), data should include configuration (revision), parts list, any unincorporated Engineering Order (EO), Engineering Change Proposal (ECP), Notice of Revision (NOR), Design Change Notice (DCN), or Change in Design (CID), Requirements Control Card (RCC) and Quality Assurance Document (QAD), etc. For CAT IV, Alternate Item packages, if the vendor possesses or utilizes OEM drawings, complete copies of those drawings must also be included in the package

F. SUBJECT ITEM SPECIFICATIONS - Provide a complete listing of applicable specifications identified on the subject item drawings and a copy of the title page of the latest revision of each specification. For CAT IV, Alternate Item packages, where OEM or commercial specifications are not utilized, complete copies of internal specifications will be provided. For internal specifications, identify the commercial equivalent specification (if known/available). The list will be presented by specification title and number sequence and will include superseded documents, and will include the vendors who will use/implement each specification. The specification title page will be used to verify that the proposed supplier possesses all the required specifications. For CAT IV, Alternate Item packages, if the vendor possesses or utilizes OEM specifications, complete copies of those specifications must also be included in the package

G. SUB-TIER SUPPLIER INFORMATION - Identify the sub-tier suppliers, if any, that the potential supplier intends to use. If no sub-tier suppliers will be used, state here that all work will be performed in house. Sub-vended processes should be denoted as critical or non-critical. All sub-tier suppliers should be listed in this section and a statement should be included verifying that these suppliers are currently OEM or government approved. For assemblies, identify suppliers of sub-components. Sub-components that are CSIs or CAIs must only be supplied by government approved CSI and CAI suppliers. If the potential supplier proposes the use of sub-tier suppliers who are not OEM or

government approved, please submit complete documentation substantiating the capabilities and qualifications of the sub-tier supplier. It should be noted, however, that additional approval testing (as specified by the cognizant Service ESA) may be required in this circumstance.

H. QUALITY HISTORY – For the proposing supplier’s CAGE code provide a summary of Deficiency Reports experienced in the past 3 years for all items. In addition, provide a summary of Deficiency Reports for the subject and/or similar item for all proposed sub-tier suppliers. For the subject and/or similar item, provide a summary of (including but not limited to) internal deficiencies, commercial deficiencies, FAA Service Bulletins, Material Review Board (MRB) items, statistical reports of nonconformances, nonconforming material rejection reports, and scrap rates. In addition, provide data relative to sub-tier suppliers, actions and resolutions when applicable, on previous contracts. If there is no quality history, state as such.

The summary will include at a minimum the following data: P/N, Nomenclature, Feature, deficiency, quantity, date, and corrective action.

Note: Nonconformances are not necessarily perceived as an increase in risk when considering alternate source qualification. In fact, identification of nonconformances can illustrate a successful quality assurance program.

I. SIMILAR ITEM DRAWINGS - For Category II SARs, provide all data required to manufacture, assemble and test the similar item(s). This information includes drawings (casting, forging, detail, assembly, source controlled, masters, airfoil data, schematics, etc.), configuration (revision), parts list, any unincorporated Engineering Order (EO), Engineering Change Proposal (ECP), Notice of Revision (NOR), Design Change Notice (DCN), or Change in Design (CID), Requirements Control Card (RCC) and Quality Assurance Document (QAD), etc. The similar item drawings will typically include references to materials, processes, specifications, and may include data relating to mandatory inspections and inspection intervals.

J. SIMILARITIES AND DIFFERENCES BETWEEN SUBJECT AND SIMILAR ITEMS – For CAT II SARs, the SAR must identify the specific similarities and differences in materials, coatings, design, manufacturing processes, operating environment, etc. between the similar item and the subject item. A matrix comparison is the preferred method.

K. PURCHASE ORDERS AND SHIPPING DOCUMENTS – Provide copies of at least one purchase order(s) and any amendments from the prime contractor, OEM, Government or other customers based upon the SAR category submitted. For Cat I or II, the purchase orders must be from the prime contractor, OEM, Government, foreign government, or commercial customer. This information should indicate when the

supplier last produced the subject item or an item of similar manufacturing complexity (for Category II SARs). For Cat IV, provide copies of purchase orders and shipping documents (if applicable) for sales to/from commercial customers or OEM, as well as purchase orders and shipping documents to/from PMA holder and actual manufacturer of PMA part (if different). If you have never provided the part to any customer, identify this in your package. All documents in this section should be dated, and shipping documents should account for all items ordered. All financial information should be removed from these documents. It is important that documented performance is recent in order to adequately reflect the current manufacturing capabilities of the proposed supplier. Therefore, contract performance documentation included in SARs must be submitted no later than three (3) years for CSI and no later than seven (7) years for CAI after the date of last delivery, as evidenced by latest shipping document. The threshold should apply on the date the SAR is received by the procuring activity or IMM. If a contract was terminated, the reason for termination should be included in this section. The data provided in this section should be for the same contract(s) as those provided in SAR Elements L and M.

L. PROCESS/OPERATION SHEETS (POS/OP SHEETS) AND TRAVELERS -

Provide a detailed step-by-step account of the procedures necessary in the proper sequence to manufacture the subject or similar item depending on the SAR category. The sheets must indicate operation number, description, tolerance (specification), location, sub-tier suppliers, manufacturing software data file name, etc. necessary to control manufacturing operations and be signed/stamped off by in-process operator and/or inspector. For Category I packages, copies of the actual sheets used for production of the subject item must be submitted. For Category II packages, copies of the actual sheets used for production of the similar item must be submitted as well as detailed proposed op sheets for manufacture of the subject item in order to demonstrate the proposing supplier's comprehension of the required manufacturing processes. For Category III packages, proposed POS/OP sheets must be provided. For Category IV packages, submit either the actual manufacturing process operation sheets and any proposed changes from the original FAA-PMA or other approved process operation sheets, or the proposed operation sheets for new items. The data provided in this section pertaining to manufacturing history should be for the same contract(s) as those provided in SAR Elements K and M. The data provided must be from the actual manufacturer.

Note: Route sheets that may be enclosed in this section are not to be considered a replacement for detailed operation sheets. Lack of detailed process/operations sheets pertaining to manufacturing history in the SAR is cause for disapproval of the supplier's SAR.

M. INSPECTION METHOD SHEETS (IMS) - Provide the inspection sheets for the production of the subject or similar item. This information should include the nomenclature, part number, characteristics inspected, special instructions, zone,

tolerances and actual measurements, inspection tooling/method, frequency and inspector's stamp. Provide the actual inspection sheets with the production data for Category I. Provide the actual inspection sheets with the production data for the similar item for Category II. Provide proposed inspection sheets for subject item in Categories II, III, & IV. IMS may be included as an integral part of the POS/OP sheets in SAR Element L. The data provided in this section should be for the same contract(s) as those provided in SAR Elements K and L.

N. PRIME/OEM CONTRACTOR'S QUALITY RATING SYSTEM REPORT –

Provide the proposing supplier's quality system report or rating from the prime contractor and/or OEM responsible for the subject item. Any manufacturing process certifications or approvals should be included along with any independent approvals and certifications provided by independent evaluators (e.g., NADCAP for special processes, AS 9100, etc). If no rating from the subject part prime contractor/OEM is available, alternate quality ratings from another prime contractor and/or OEM should be submitted. If the company has not manufactured any items for a prime contractor/OEM and thus no quality rating is available, state as such.

O. LICENSEE AGREEMENT (If applicable) - A copy of the licensee agreement between the proposed contractor and the prime contractor/OEM must be provided if the submitting contractor has such an agreement with the subject item prime contractor/OEM. If a copy cannot be provided, at a minimum a redacted portion showing the details of MRB activity, data rights, configuration control, source control, etc.

P. VALUE ADDED (BY PRIME OR OEM) - Identify any value added provided by the prime contractor in the manufacture of the item. Value added is considered any action, manufacturing or inspection process, data, instructions, or equipment that is essential to the manufacture of the item, but is not documented in the data package. Examples of value added are the use of OEM qualification of sources for forgings, castings, raw materials; the use of OEM tooling, fixtures, gages or inspection master hardware; the use of OEM MPS, IMS, or other process related data not referenced on the part drawing(s); quality assurance of sub-tier suppliers of significant processes all as related to the performance of manufacture.

Q. GOVERNMENT/PRIME CONTRACTOR SURVEYS – If applicable, provide a copy of the latest survey report (survey, findings, and corrective actions) performed by a government agency and survey report (survey, findings, and corrective actions) performed by the prime contractors/OEMs within the past seven years. If there are none, state as such. This section can include any available DoD technical evaluations of the proposing supplier's production capability, quality assurance procedures, industrial resources, material purchasing, and sub-tier supplier controls.

R. PRE-QUALIFICATION TEST PLANS - If testing is required, all proposed test plans necessary to completely qualify the part must be submitted for approval prior to beginning testing. Testing may be at the contractor's expense. The pre-qualification test/inspection procedures proposed and independent test laboratories proposed to be used

have to be identified by Name, CAGE, address and telephone number. Test requirements are part specific.

S. TEST RESULTS – If testing has already been conducted, provide part specific test results. If testing has not been conducted, comply with element R.

T. MASTER TOOLING CERTIFICATIONS – Provide certification of access to and the right to use any required master tooling, special tooling/test equipment, mylars (stable base drawings), glass layout, and loft data/contour data as applicable to the latest item drawing revision. Include proof of calibration for all equipment/tooling requiring calibration. State if no master tooling or calibration is required.

U. GOVERNMENT QUALITY ASSURANCE COMPLIANCE – Provide a statement that the prospective supplier will comply with all government imposed quality assurance provisions, testing requirements, etc. as identified in the solicitation or contract for the subject item.

V. FAA PMA LETTER or Supplement (If PMA applicable) – If purchase orders and shipping documents for sales to/from PMA holder and actual manufacturer of PMA part were provided, include the FAA letter or supplement. The FAA PMA letter, method of approval and documentation provided to and from the FAA should describe the basis of the FAA's PMA approval and show applicability to the subject item platform and model.

W. ALTERNATE ITEM SOURCE COMPONENT PURCHASE ORDERS – Include the original source component purchase orders and certificates of conformance for the actual manufacturer components used to derive alternate item source design.

X. STATISTICAL DATA - Include the statistical data from the actual manufacturer components used to derive alternate item source design. If the part is in production, provide the statistical control data.

Y. REVERSE ENGINEERING MANAGEMENT PLAN – A reverse engineering management plan must be provided which describes the approach used to develop the specifications. The plan must describe all aspects of the proposed reverse engineered design, materials, critical characteristics, critical inspection processes, and critical manufacturing processes to satisfy requirements and how these were derived.

Note: If the proposed source has not begun a reverse engineering effort, the source should provide the reverse engineering management plan prior to submittal of the SAR package.

Z. ALTERNATE APPLICATION ENVIRONMENT – For parts with a commercial application as described in element W, provide commercial operating mission, including environment, weight, safety assessments.

Attachment 7

COMMON USE ITEM COORDINATION SHEET AND INSTRUCTIONS

Figure A7.1. Common Use Item Coordination Sheet.

TRACKING NO. - - -	Common Use Item Coordination Sheet	<input type="checkbox"/> OPEN <input type="checkbox"/> CLOSED
NOMENCLATURE:		
NSN:	P/N:	PRIMARY CAGE:
ISSUE DATE:		CLOSURE DATE:
ISSUE ORIGINATOR:		POC:
<input type="checkbox"/> Army <input type="checkbox"/> Navy <input type="checkbox"/> Air Force <input type="checkbox"/> DLA		
SERVICES AFFECTED:		CATEGORY:
<input type="checkbox"/> Army <input type="checkbox"/> Navy <input type="checkbox"/> Air Force <input type="checkbox"/> DLA		<input type="checkbox"/> CSI/CC Determination <input type="checkbox"/> Alternate Source Qualification <input type="checkbox"/> First Article Test <input type="checkbox"/> Site Survey <input type="checkbox"/> CSI Alert <input type="checkbox"/> Coordination of Approved Sources <input type="checkbox"/> Other
DLA FORM 339 # (if applicable):		
PLATFORM/SUBSYSTEM:		
<u>ISSUE DESCRIPTION:</u>		
<u>RECOMMENDED CLOSURE:</u>		
<u>ASSESSMENT:</u>		

P/N: Self-explanatory.

Primary Commercial and Government Entity (CAGE): Enter the CAGE code of the manufacturer who maintains the drawings. If there is a proposed CAGE which is not presently recognized by all Services, the details of that nomination should be included in the "Issue Description" area below.

Issue Date: Self-explanatory.

Closure Date: Projected date of closure or actual closure date for closed actions.

Issue Originator: Self-explanatory.

POC: Name, phone and e-mail of the POC within the originator's organization.

Services Affected: Self-explanatory.

Category: Self-explanatory.

DLA FORM 339 #: Self-explanatory.

Platform/Subsystem: Aircraft and subsystem(s) on which the part is used.

Issue Description: Self-explanatory; should include any details of a proposed new CAGE for inclusion.

Recommended Closure: Originating Service's near-term and long-range recommendations for completing this coordination.

Assessment: Service POCs will be assigned to provide coordination between all affected Services and DLA. Help POCs from each Service will be available to assist in the process. Service POCs will be identified by the Help POCs, and will work non-controversial actions to their conclusion. When there are differences that cannot be resolved at the Help POC level, the problem resolution process will take place at the lowest level possible. Lack of resolution will result in elevation to the head of the engineering activity for each affected ESA.

Intraservice Programs Affected and Assessment: In those instances where an item requiring

Inter-service coordination affects more than one weapon system/program within a given Service, this section can be used to identify and coordinate intraservice resolution of the item of concern.

Review Comments: Self-explanatory.

A continuation sheet may be used as required for any areas.

7.3. Samples of Completed Common Use Item Coordination Sheets

Sample #1 (Army initiated)

TRACKING NO. AR-XXX-040505-02	Common Use Item Coordination Sheet	<input checked="" type="checkbox"/> OPEN <input type="checkbox"/> CLOSED
NOMENCLATURE: <u>Thrust Bearing, SB7002-048</u>		
NSN: <u>3110-01-158-9607</u>	P/N: <u>SB7002-048</u>	PRIMARY CAGE: <u>80201</u>
ISSUE DATE: <u>8/10/2004</u>		CLOSURE DATE:
ISSUE ORIGINATOR: <input checked="" type="checkbox"/> Army <input type="checkbox"/> Navy <input type="checkbox"/> Air Force <input type="checkbox"/> DLA		POC: <u>Sally X. Jones (256) xxx-xxxx, Sally.Jones**@army.mil</u>
SERVICES AFFECTED: <input checked="" type="checkbox"/> Army <input checked="" type="checkbox"/> Navy <input checked="" type="checkbox"/> Air Force <input checked="" type="checkbox"/> DLA	CATEGORY: <input checked="" type="checkbox"/> CSI/CC Determination <input type="checkbox"/> Alternate Source Qualification <input type="checkbox"/> First Article Test <input type="checkbox"/> Site Survey <input type="checkbox"/> CSI Alert <input checked="" type="checkbox"/> Coordination of Approved Sources <input type="checkbox"/> Other	
DLA FORM 339# (if applicable):		
PLATFORM/SUBSYSTEM: <u>H-60</u>		
<u>ISSUE DESCRIPTION:</u> Based on Category I QDR, System Engineer for Army requested addition of item to CSI list. Part failure causes damage to Main Rotor Spindle, which could result in loss of blade and aircraft.		
<u>RECOMMENDED CLOSURE:</u> This DLA-managed item should be categorized as CSI due to similar QDR on HH-60H part. Chicago Rawhide (CR, CAGE 80201) removed temporarily as source at least until CCs Identified. Need other Service coordination on CCs prior to source reapproval process for CR. Lord Corporation remains as source.		

TRACKING NO. AR-XXX-040505-02		Common Use Item Coordination Sheet		<input checked="" type="checkbox"/> OPEN <input type="checkbox"/> CLOSED		
ASSESSMENT:						
<u>Army</u> Date: POC: <input type="checkbox"/> Concur POC Phone: <input type="checkbox"/> Non-Concur POC e-mail: <input type="checkbox"/> Not Applicable Help POC: 256-313-8981 (If non-concur, provide rational in —Review Comments” section)	<u>Air Force</u> Date: POC: <input type="checkbox"/> Concur POC Phone: <input type="checkbox"/> Non-Concur POC e-mail: <input type="checkbox"/> Not Applicable Help POC: 937-257-5448 (If non-concur, provide rational in —Review Comments” section)					
<u>Navy</u> Date: POC: <input type="checkbox"/> Concur POC Phone: <input type="checkbox"/> Non-Concur POC e-mail: <input type="checkbox"/> Not Applicable Help POC: 301-757-2505 (If non-concur, provide rational in —Review Comments” section)	<u>DLA</u> Date: POC: <input type="checkbox"/> Concur POC Phone: <input type="checkbox"/> Non-Concur POC e-mail: <input type="checkbox"/> Not Applicable Help POC: 804-279-4628 (If non-concur, provide rational in —Review Comments” section)					
INTRASERVICE PROGRAMS AFFECTED AND ASSESSMENT:						
Service/Program	POC	Phone	Date	Concur	Non-concur	Not Applicable
				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

TRACKING NO. AR-XXX-040505-02	Common Use Item Coordination Sheet	<input checked="" type="checkbox"/> OPEN <input type="checkbox"/> CLOSED
REVIEW COMMENTS:		
ARMY:		
AIR FORCE:		
NAVY:		
DLA:		

Sample #2 (Navy initiated)

TRACKING NO. NA-PAX-040605-01	Common Use Item Coordination Sheet	<input checked="" type="checkbox"/> OPEN <input type="checkbox"/> CLOSED
NOMENCLATURE: <u>H-60 Clevis Assembly Criticality Non-Concurrence</u>		
NSN: <u>1560-01-233-8316</u>	P/N: <u>70308-03801-121</u>	PRIMARY CAGE: <u>78286</u>
ISSUE DATE: <u>10/5/2004</u>	CLOSURE DATE:	
ISSUE ORIGINATOR: <input type="checkbox"/> Army <input checked="" type="checkbox"/> Navy <input type="checkbox"/> Air Force <input type="checkbox"/> DLA	POC: John Y. Smith (301) xxx-xxxx, John.Smith**@navy.mil	
SERVICES AFFECTED:	CATEGORY:	
<input checked="" type="checkbox"/> Army <input checked="" type="checkbox"/> Navy <input checked="" type="checkbox"/> Air Force <input checked="" type="checkbox"/> DLA DLA FORM 339 # (if applicable): <u>DSCR-JA-04-14842</u>	<input checked="" type="checkbox"/> CSI/CC Determination <input type="checkbox"/> Alternate Source Qualification <input type="checkbox"/> First Article Test <input type="checkbox"/> Site Survey <input checked="" type="checkbox"/> CSI Alert <input type="checkbox"/> Coordination of Approved Sources <input type="checkbox"/> Other	
PLATFORM/SUBSYSTEM: <u>H-60</u>		
ISSUE DESCRIPTION:		
339 Issued Requesting Criticality Determination, CDRLs or other quality requirements, approved sources, sector 2800 information update, and AMC/AMSC code validation. Navy defined part as CSI, with AMC/AMSC of 1B. Army defined as CAI with AMC/AMSC code 1B. Air Force defined as CAI with AMC/AMSC cod of 3B.		

TRACKING NO. NA-PAX-040605-01	Common Use Item Coordination Sheet		<input checked="" type="checkbox"/> OPEN <input type="checkbox"/> CLOSED
<p><u>RECOMMENDED CLOSURE:</u></p> <p>Recommend that Services discuss and come up with a common determination and AMC/AMSC code. Part is used in same location and application for each Service, so determination should be the same.</p>			
<p><u>ASSESSMENT:</u></p>			
<p><u>Army</u></p> <p>POC: POC Phone: POC e-mail:</p> <p>Help POC: 256-313-8981</p>	<p>Date:</p> <p><input type="checkbox"/> Concur <input type="checkbox"/> Non-Concur <input type="checkbox"/> Not Applicable</p> <p>(If non-concur, provide rational in —Review Comments” section)</p>	<p><u>Air Force</u></p> <p>POC: POC Phone: POC e-mail:</p> <p>Help POC: 937-257-5448</p>	<p>Date:</p> <p><input type="checkbox"/> Concur <input type="checkbox"/> Non-Concur <input type="checkbox"/> Not Applicable</p> <p>(If non-concur, provide rational in —Review Comments” section)</p>
<p><u>Navy</u></p> <p>POC: POC Phone: POC e-mail:</p> <p>Help POC: 301-757-2505</p>	<p>Date:</p> <p><input type="checkbox"/> Concur <input type="checkbox"/> Non-Concur <input type="checkbox"/> Not Applicable</p> <p>(If non-concur, provide rational in —Review Comments” section)</p>	<p><u>DLA</u></p> <p>POC: POC Phone: POC e-mail:</p> <p>Help POC: 804-279-4628</p>	<p>Date:</p> <p><input type="checkbox"/> Concur <input type="checkbox"/> Non-Concur <input type="checkbox"/> Not Applicable</p> <p>(If non-concur, provide rational in —Review Comments” section)</p>

TRACKING NO. NA-PAX-040605-01		Common Use Item Coordination Sheet			<input checked="" type="checkbox"/> OPEN <input type="checkbox"/> CLOSED	
INTRASERVICE PROGRAMS AFFECTED AND ASSESSMENT:						
Service/Program	POC	Phone	Date	Concur	Non-concur	Not Applicable
				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<u>REVIEW COMMENTS:</u> Army: Air Force: Navy: DLA:						