Supplier Audit Program
SAP
Instruction Guide
September 2003
http://www.nslcptsmh.navsea.navy.mil

Foreword

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

This instruction translates business process requirements into detailed step-by-step procedures for individuals using the automated SAP process. The instruction was prepared by Naval Sea Logistics Center Detachment Portsmouth (NSLCDET PTSMH) in support of a NAVSEA HQ 04XQ initiative. NSLCDET PTSMH is always in a continuous improvement mode to enhance both the AIS and SAP instruction to meet the needs of its customers.

Please address any recommended changes or improvements to:

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SYSTEM OVERVIEW (top)

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

DEFINITIONS (top)

CAGE: Five position alphanumeric Commercial and Government entity code for the contractor referenced in the record.
Audit ID: Ten position alphanumeric identification number consisting of a six digit DODAAC, or a five digit CAGE code proceeded by a 0 (zero), a four-digit year (yyyy) and a three-digit serial number.
Audit Lead: Activities that have audit responsibilities identified by NAVSEA.
Mandatory Fields: Required information. These fields are marked with an asterisk (*). A double **asterisk (**)** indicates the minimum mandatory fields required for saving a draft copy.

ACCESSING SAP(top)

-**From the NSLCDET PTSMH Home Page** (http://www.nslcptsmh.navsea.navy.mil), click the PDREP icon. The PDREP Logon Page displays. Select **Logon to PDREP Web Application**.

-**From the Supplier Audit Page**, select **LOGON**.

Enter PDREP User-ID (first initial of first name and the first 4 positions of last name.) If the user does not have a PDREP user id and password, refer to the User Request Form on the NSLCDET PTSMH homepage, or call the Help desk listed in the foreword.
Enter PDREP Password (7-15 characters long (letters/numbers), no special characters). The PDREP Welcome Page will be displayed when the User ID and password are accepted.

Select **SAP** from the top option bar and the SAP Main Menu displays.

To request improvements or corrections to the SAP system, select **FEEDBACK.**

Viewing, Adding, Editing, Deleting and Adding an Attachment

From the **SAP** Main Menu, select **Input Audit** and the Supplier Audit Program menu screen displays. The type of privileges (Add, Edit, Delete, View, and Attachment) is based upon the user's security. Please check **Security** on the NSLCDET PTSMH Supplier Audit Program WEB page for additional information.
To return to the SAP Main Menu, select **HOME**.
To log out of the system (SAP and PDREP), select **LOGOUT.**
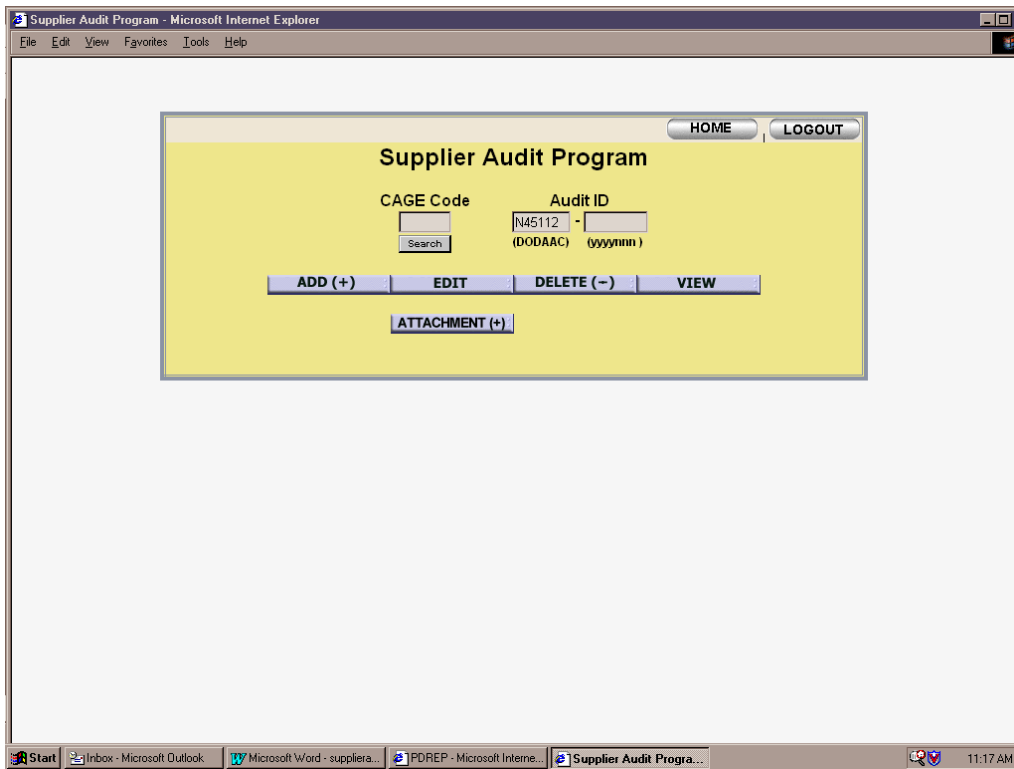
Viewing Records ()

To view single records, select **Input Audit** from the SAP Main Menu. Enter the Audit ID number on the SAP menu screen and click **View**. The system will provide the audit in a read only format that can be printed. To return to the previous menu, click **Back**.

To view all the audits associated with a CAGE Code, select Input Audit from the SAP Main Menu. Enter the code in the CAGE Code data entry field on the SAP menu screen and click **View**. If the CAGE Code is unknown, select **Search** under the CAGE Code data entry block to perform a search. Enter either the full or partial company name and click **Look Up**. To select a code, click the blue CAGE code from the list provided and click **OK**. The CAGE will auto fill. Select **View** to examine the audit. The next screen provides a list of the audits prepared for that CAGE. It displays the Audit ID number, CAGE code and the date of the audits. To select an audit to view, click a blue Audit ID number. The system will provide the audit requested in a read only format that can be printed.

To view all audits associated with a lead audit facility, enter **Input Audit** from the SAP Main Menu. Enter the DODAAC, or 0+ CAGE code, in the **DODAAC** data entry field on the SAP menu screen and click **View**. The next screen supplies a list of audits for the specified activity. It displays the Audit ID number, CAGE code and date of the audits. To view a specific audit, click the Audit ID number. The system will provide the audit requested in a read only format that can be printed.

To return to the SAP menu screen, select the **Back** button from the read only page.

ADDING NEW AUDIT RECORD (top)

To add a new audit record to the SAP database, select **Input Audit** from the SAP Main Menu. Enter the company's five digit CAGE on the SAP menu screen and click **Add** (+). The DODAAC activity will auto fill based on the user login. If entering a Supplier Audit for a different DODAAC, enter the CAGE code and auditing DODAAC. Click **Add**. If the company CAGE code is unknown, explore by selecting **Search** under the CAGE Code data entry block. Enter the full or partial name of the company and click **Look Up**. To select a specific code, click the blue numbers and click OK; the CAGE will be entered into the DODAAC field. The system will create the Audit ID number and redirect to the data entry page.

*The **Cancel Add** key cancels the new audit and redirects to another screen. It confirms the cancel action by asking "Wish to Cancel this Report?" Select **Yes** to cancel and return to the SAP menu screen. Select **No** to return to the data entry page.

The **Save Complete** key saves the entire work page to the database and checks for entry errors. All errors are listed on the top of the data entry page. The system will not allow the page to be saved until all fatal errors are corrected.

The **Finish Later** key saves work completed at that point as a draft copy; the data can be revised later. The **Finish Later** key can be used only after the **date audited**, **audited by** and **phone** fields are complete.

To complete the draft audit, return to the SAP menu screen and select **Edit**. The previous audit will be listed as DRAFT.

FILLING OUT THE FORM (top)

The system fills the name, address and CAGE code of the Company. The system also establishes an Audit ID number when the **Save** key is used.

Auditor information:
Date Audited: This is a mandatory field and must be filled as shown in the following example: 07/27/1999.
Audited by, Phone: These are mandatory fields and must be filled.
Fax: Enter fax number.

DCMA Information:
*DCMA Participated: Select Yes or No. This is a mandatory field.
DCMA Audit?: If the PQDR was prepared for a participating lead activity by DCMA, check this box.
DCMA Rep, Phone and Email: Although this is not a mandatory field, the DCMA vendor representative should be given the opportunity to participate in the audit. If Yes is selected from the **DCMA Present** field, the system will require the name of the DCMA Representative and the telephone number.
*Applicable DCMC Contract: This is a mandatory field. The auditor is strongly encouraged to indicate any contract(s) involved with this audit. If there are no contracts applicable, enter the letters N/A.

Supplier Information:
*Supplier Personnel Contacted: At least one company contact including the ***Name**, ***Title and *Phone** must be entered. The fax number is not mandatory. Extra lines are provided if additional contact space is needed.

*Processes Audited this date: (shown below) This is a mandatory field and **at least one process must be selected**. If required, all 28 can be checked as either SAT, UNSAT, NA, Partial or Pending.

NA is used to indicate the process does not take place at this plant. If the process is an essential process, the sub contractor CAGE code should be entered in the block next to the status selection. If the company CAGE code is not known, select **Search** under the CAGE data entry block. Enter the full or partial name of the company in question and click **Look Up**. Double click CAGE code (to highlight) from the list provided and click **OK**. The CAGE will auto fill.
Partial indicates some portion of the process was observed, but not all.
Satisfactory and **Unsatisfactory** is self-explanatory.
Pending is used to create a notification of a pending future audit (also see Pending Audits under **Reports**). (top)

To create a Pending Audit, complete the auto date field with the user's planned audit date.
Enter the name of the person performing the audit. (This can be changed when the audit is complete).
Enter the telephone number of the contact person in case others wish to participate in the audit.
Enter the processes to audit by selecting **Pending** from the status selection box.
Click **Finish Later**. The Audit ID will be created.
The audit will be marked **Pending** until the audit is complete.
The audit can be retrieved using the **Edit** function in the SAP menu screen.

Supplier System Information:
*__Inspection System Indicator__: This is a mandatory field and the auditor must select at least one. If another system is being used, Other should be selected and the narrative explanation completed. If the vendor does not have an inspection system, Other should be selected with N/A for the narrative.
*__Calibration System Indicator__: This is a mandatory field and the auditor must select at least one. The same rules apply to Calibration as Inspection.

***Supplier Product/Capability Overview**: Include a detailed narrative of the Suppliers Capability in this field. Be clear and concise when describing supplier's operations and performance. Both positive and negative information should be included. (Note: All narrative fields allow the user to cut and paste information.)

Audit Results closeout information:

***Auditor's Overall Assessment**: This mandatory field allows a maximum of three pages for vendor assessment comments. All narrative fields allow the user to cut and paste information from another application.

***Audit Results**: This is the conclusion for the processes inspected. SAT and UNSAT are self-explanatory. Marginal is used when problems exist that do not dictate an UNSAT. For example no major findings have occurred adversely affecting the present product, but there are conditions that could cause problems.

***Auditor's date**: This date automatically fills when the form is completed.

Applicable **Corrective Action Report Number/s**: This is not a mandatory field. It allows the auditor to report any supportive problem that reflects on the conditions found at the vendor facilities. Either the Corrective Action Report numbers (CARs) or the Product Quality Deficiency Reports can be entered in these fields. Additional information should be entered in the Deficiency(ies) Requiring Corrective Action field.

***Follow-up Required?**: This is a mandatory field that requires the auditor to select **yes** or **no**.

Deficiency(ies) Requiring Corrective Action: This field is mandatory only if the process audit was found to be Marginal or Unsatisfactory. It allows a maximum of three pages of narrative.

Corrective Action Complete?: This is mandatory only if the process audit was found to be Marginal or Unsatisfactory.

Alert: The auditor checks this button if the findings indicate a systemic problem that could have far reaching effects on products already in service, or going into service. The

system sends an automatic notification to all lead audit activities.

Auditors Notes: This is provided for the auditor to include improvements, suggestions, additional questions and comments about the audit. Once a year these notes will be reviewed. Accepted suggestions will be incorporated into the Process Audit process. Since it only concerns the audit process, the narrative in this box can only be seen by the auditor, lead audit activity, or Government facility.

Click **SAVE COMPLETE** to complete the form. To return to the SAP menu screen, click **Return to Menu**, or exit from the browser.
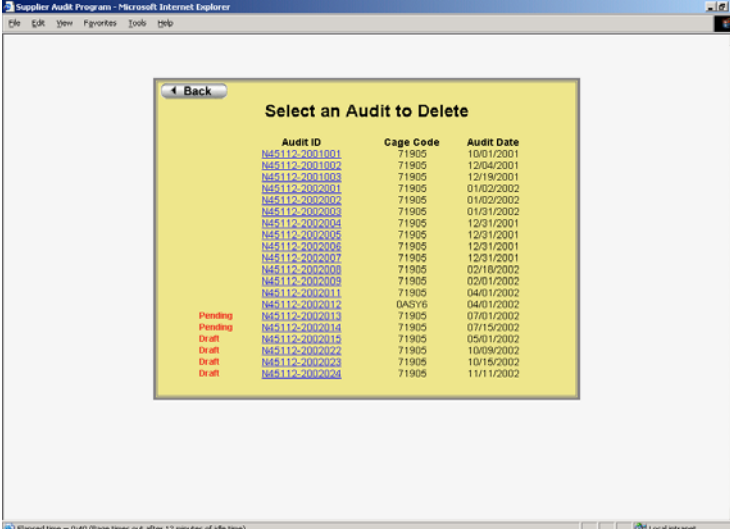
EDITING A RECORD (top)

To edit records in the SAP database, select **Input Audit** from the SAP Main Menu. Enter a CAGE code, or the first six digits of the DOCAAC, on the SAP menu screen and
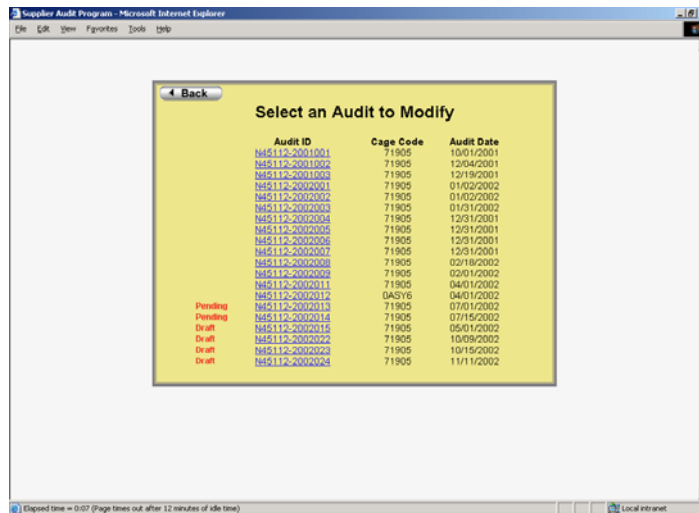
Select **Edit**. If a CAGE was entered, a list of audits for that CAGE will be displayed. If there is only one audit, the data entry page to modify will appear. If only a DODAAC was entered, a list of audits by that DODAAC will be displayed. To edit an audit, click the Audit ID number from the list provided. If an Audit ID number was used, the editing screen will be shown. Once the record is displayed, any field can be modified. However, mandatory fields must be completed. When modifications are complete, click **Save** (check security requirements on the NSLCDET PTSMH Supplier Audit program web page).

DELETING A RECORD(top)

To delete a record from the SAP database, select **Input Audit** from the SAP Main Menu. Enter the DODAAC activity or Audit ID number on the SAP menu screen and select **Delete(-)**. If only the activity DODAAC was entered, a complete list of Audit IDs Completed/Pending/Draft will be shown (see exhibit above). Select the Audit Report to delete. The system will ask, "Do you Want to Delete this Report?" The Audit ID, CAGE


and audit date will be displayed. Select either **Delete** (which will delete the audit from the database), or **Cancel** (which will place the user back to the input screen without removing the record. **Warning: once Delete is clicked, the record has removed from the database**.(top)

ADDING AN ATTACHMENT (top)

To add an attachment to a Supplier Audit, select Input Audit from the SAP Main Menu. Enter the DODAAC in the DODAAC Audit ID field on the SAP menu screen and click **Attachment+.** A list of audits will be displayed. From the list provided, click Audit to add attachment. The system will redirect to the Attachment Screen.
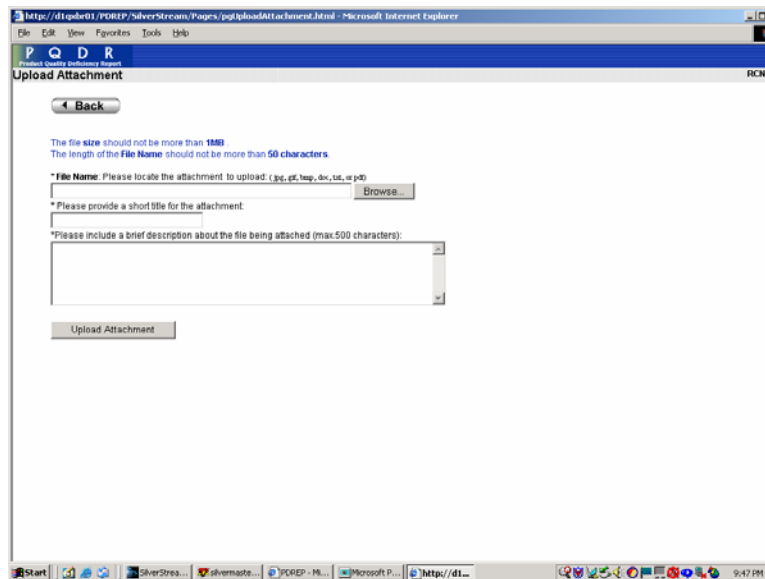
Select the **Browse** button.
Double click on the file to add.
Enter a short file name.
Enter a brief description of the attachments.
Click **Upload Attachment button**.

The system will upload the attachment. Any Supplier Audit with an attachment will have a view selection. While viewing the audit, the user has the option to view the uploaded attachment by clicking the **View** button.

RUN A REPORT ([top](#))

This option will allow the user to view Supplier audits available in the system. The **Reports** section allows the user quick access to completed, planned and in process audits. In addition, it allows the user to filter by CAGE, Process, or Process Results. Click **Run a Report** from the SAP Main Menu and the Supplier Audit Program Report screen is displayed.

NOTE: Expected Report Results based on selection are in appendix 1 (Sample of Expected Results)

Enter the date to search using the format MM/DD/YYYY. The system date is the default as shown above. This field is required to return results.
Select the number of years to show audits (selections are one, two or three years). The mandatory default is "One Year Back".
To search a specific company, enter the CAGE code in the block provided.
To search a specific Audit Activity, enter the DODAAC or 0+ CAGE code in the block provided.

To retrieve detailed information about completed audit reports, select at least one item from both Audit Results and **Process Results**. The default is set to all. The user clicks the blocks that are **NOT** desired.

Select individual audits by clicking a selection from the **Available Audit Process Box** and clicking >>.
To select all the processes, click **Select All Processes** key.
To remove a process, select the process to remove from the **Selected Audit Processes Box**, and click <<.
To remove all the processes, select **Remove All Processes key**.

Select **Run Report**. At least one Audit Process must be selected to run the report.
To show all audits planned in the future, select **Show Pending Audits Only**.
Information provided in the Audit Results and Process Results blocks is ignored.
Select the individual processes, or the **All Processes** key.
Click **Run Report** at the bottom of the page. The system will supply any pending audits
based on the CAGE, Lead Activity, or both (if entered).

APPENDIX (1) SAMPLE OF EXPECTED RESULTS(top)

This table is based on mandatory selection of the selected FROM date minus the selected
number of years back (one, two or three) and the selected Audit Process. Blocks with
data entered are marked with a X. This is a sample table. The information provided is a
subset of the actual results that display when selecting different combinations of audit
results and process results. Remember, one from each field (Audit Results and Process
Results) must be selected.

		Audit Results			Process Results					
CAGE	DODAAC	S	U	M	S	U	M	N A	P	Expected Results
X	X	X	X	X	X	X	X	X	X	All Supplier Audits in the date range entered by the specified DODAAC and Specified CAGE for all Audit results that are (S,U,M) and processes that are (S,U,M,N,P) for the processes selected.
	X	X	X	X	X	X	X	X	X	All Supplier Audits in the date range entered by the specified DODAAC for all Audit results that are (S,U,M) and processes that are (S,U,M,N,P) for the processes selected.
X		X	X	X	X	X	X	X	X	All Supplier Audits in the date range against a specified CAGE for all Audit results that are (S,U,M) and processes that are (S,U,M,N,P) for the processes selected.
		X	X	X	X	X	X	X	X	All Supplier Audits in the date range entered by all DODAACs and against all CAGEs for all Audit results that are (S,U,M) and processes that are (S,U,M,N,P) for the processes selected.
X	X		X	X	X	X	X	X	X	All Supplier Audits in the date range entered by the specified DODAAC and specified CAGE for all Audit results that are (U,M) and processes that are (S,U,M,N,P) for the processes selected.
	X		X	X	X	X			X	All Supplier Audits in the date range entered

										by the specified DODAAC for all Audit results that are (U,M) and processes that are (S,U,P) for the processes selected.
X				X	X	X	X	X	X	X	All Supplier Audits in the date range against a specified CAGE for all Audit results that are (U,M) and processes that are (S,U,M,N,P) for the processes selected.
				X	X		X	X			All Supplier Audits in the date range entered by all DODAACs and against all CAGEs for all Audit results that are (U,M) and processes that are (U,M) for the processes selected.
X	X	X			X						All Supplier Audits in the date range entered by the specified DODAAC and specified CAGE for all Audit results that are (S) and processes that are (S) for the processes selected.
	X			X			X	X			All Supplier Audits in the date range entered by the specified DODAAC against all CAGEs for all Audit results that are (S,U,M) and processes that are (S,U,M,N,P) for the processes selected.
X					X		X	X	X	X	All Supplier Audits in the date range entered by all DODAACs and against the specified CAGE for all Audit results that are (S,U,M) and processes that are (S,U,M,N,P) for the processes selected.