Supplier Audit Program (SAP)

User Guide
23 MAY 2020
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Click link and the hold ‘CTRL’ key to follow link
FOREWORD

This guide does not replace or amend any Department of Defense (DoD) instructions, regulations, and/or policies. The Product Data Reporting and Evaluation Program’s (PDREP) Supplier Audit Program (SAP) application is designed to work in concert with existing policies and processes. This guide’s purpose is to assist users with the functionality of the PDREP-SAP application and to facilitate compliance with Supplier Audit Program policy.

NAVSEA 06P maintains the Supplier Audit Program Instruction (NAVSEA 4855.38 – Supplier Audit Program) that implements the SAP application. The SAP application uses this instruction as a basis for its functionality.

Please address questions for, or recommended changes to the Supplier Audit Instruction to:

SEA 06P – Supplier Audit Program
Building 197 4w2140
1333 Isaac Hull Ave, SE
Washington Navy Yard, Washington DC 20376
Phone: (202) 781-3832
INTRODUCTION

This document is intended to guide users in the use of the PDREP-SAP application. SAP is used to document the results of audits performed in accordance with the Suppler Audit Program Instruction.

The SAP application is accessible via the PDREP home page:

https://www.pdrep.csd.disa.mil/

First time PDREP users will need to submit a System Access Authorization Request form. Instructions are available on the PDREP home page as linked above. Click on User Access Request for instructions on filling out an the form. Follow additional directions on the form itself to submit the request for access to the PDREP team.

Existing PDREP users can submit an access change request. To do this, log into the PDREP-AIS and hover over ‘User Profile’ or ‘[YOUR NAME]’ in the upper right corner of the page and click ‘Access Change Request’. Update access request as desired. Enter a narrative to describe your change request and click submit account change request button.

Requests for assistance, improvement, or changes to any of the PDREP applications or the NSLC Detachment Portsmouth PDREP home page should be submitted to:

Online in the PDREP Application

If you are already a PDREP User, log on to PDREP: https://www.pdrep.csd.disa.mil/

Hover over ‘Help’ link at the top of any PDREP page. Select the first option on the fly out to ‘Contact Help Desk with comment, question, or feedback.’

If you wish to provide suggestions to change SAP application or other PDREP-AIS modules, from the same Help menu, select the ‘Suggest a Change’ option. The Customer Service Request (CSR) form will open. Instructions for completion are located at the top of the form.

Also, visit our FAQ Page – your question(s) may be easily answered there.

NSLC Portsmouth Help Desk
Commercial Phone: (207) 438-1690 / DSN 684-1690
FAX: (207) 438-6535 / DSN 684-6535
E-Mail: WEBPTSMH@navy.mil

Mailing Address
Naval Sea Logistics Center Portsmouth
Bldg. 153, 2nd Floor
Portsmouth Naval Shipyard
Portsmouth, NH 03804-5000
1 ACCESS LEVELS

Access to the functionality of the SAP application is determined by the User's Access Level. PDREP has several Access Levels for SAP:

<table>
<thead>
<tr>
<th>Role</th>
<th>Functions</th>
</tr>
</thead>
<tbody>
<tr>
<td>No Access</td>
<td>If a user does not have access to the PDREP-SAP application, the program link will not appear on the user's PDREP Main Menu.</td>
</tr>
<tr>
<td>View Access</td>
<td>Access to view all SAP records. User cannot create new records, or edit existing records.</td>
</tr>
<tr>
<td>Non-Management</td>
<td>Access to Create New SAP Records, run a SAP Report, view SAP Files and run a SAP ad hoc. Can only modify records the user has created as long as their primary or secondary DoDAAC on their user profile match the previously entered SAP records. Record deletion is not permitted.</td>
</tr>
<tr>
<td>Management</td>
<td>Access to Create New SAP Records, run a SAP Report, view SAP Files and run a SAP ad hoc. Can modify any record as long as their primary or secondary DoDAAC on their user profile match the previously entered SAP records. Record deletion is permitted for records with the same parameters as is record modification.</td>
</tr>
<tr>
<td>Full Access</td>
<td>Access to all capabilities and records in the PDREP-SAP application. Reserved for the NAVSEA 06P SAP Program Manager and PDREP administrators.</td>
</tr>
</tbody>
</table>

Table 1
2 ACCESSING THE SAP MODULE

Once the user has logged in, hover over the ‘Supplier Audit Program (SAP)’ link on the left side of the PDREP Main Menu (Figure 2.1). Upon hovering over the link, the SAP ‘fly-out’ menu will appear. Click on the desired section of the SAP module to enter.

Not all options on the PDREP Main Menu are available to all users. You must have permission to access the SAP module in your profile or the module link will not be visible. Depending on the user’s access level, not all of the options shown may be listed.

NOTE: If PDREP records including SAP have been accessed within the past 24 hours, a list of recently accessed records will appear on the right-hand side of the PDREP main menu. This is not pictured in Figure 2.1.
3 SAP SEARCH

3.1 Finding SAP Records

After Clicking the SAP Search option shown in Figure 3.1, the SAP Search will appear to the right of the menu options. (See Figure 3.2).

When loading this page, the DoDAAC field will be automatically populated with the primary DoDAAC associated with your user profile.

Fill in a CAGE Code if desired. If the company name is known but the CAGE is not, use the Lookup button to initiate a CAGE Search (See Section 3.2).

Select the Search button to view records meeting the search criteria (See Figure 3.3).
Within the result-set, there are various hyperlinks,

- **History and Correspondence**: ‘View’ link – See Section 5.1 of this guide.
- **Audit ID**: Click on the Record Control Number of the record to view the record in a ‘read only’ state where editing is not permitted.
- **Edit**: Opens the record in a state where it may be edited – See Section 4 regarding the creation of a SAP record as the same rules apply to editing an existing record.
- **Delete**: Allows for deletion of the selected SAP record. – See Section 5.3.
- **Attachment(s)**: Opens the attachment directory of the selected SAP record – See Section 5.2.
- **Send Email**: ‘Send’ link – See Section 5.1 of this guide.

### 3.2 CAGE Lookup

As mentioned in Section 3.1, click the Lookup button on the SAP Search page to initialize a CAGE Search.
Type the desired company name and click on Search. A result-set of CAGEs matching the criteria is displayed; See Figure 3.5. The Cancel button returns to the previous page and The Add New CAGE button is described in Section 3.2.

To use a CAGE from this result set in the SAP Search, click on the Select CAGE Code button. When selected, the CAGE will be placed into the CAGE box on the Search Page (See Figure 3.6).
4 ADDING & EDITING SAP RECORDS

This section describes the perspective of creating a brand new SAP record, however if a record is being edited the same rules and features are similarly applicable.

4.1 Functions & Features of the Base SAP Record

To add new record, click the Create New SAP Record flyout on the main menu (See Figure 2.2), or if already in the application, the Create New SAP Record tab (See Figure 4.1).

The SAP – Add Record page (aka Input Audit page) (See Figure 4.2, Figure 4.6 and Figure 4.7) will appear. Fill in the data as relevant and as described in subsequent sections in this guide and Save the record when complete.
NOTE: *Fields notated by an ‘(M)’ indicate a mandatory field. ‘(D)’ indicate a field is mandatory to save the record as a draft.*

Figure 4.2 Data Fields

- **(M) CAGE Code:** The CAGE code of the contractor or being audited. See Section 3.2 for additional information.
- **(M) Audit Type:** Allows user to select type of audit performed from a drop down list.
  1. **JSA:** Joint Supplier Audit Program
  2. **MPR:** Manufacturing Process Reviews
  3. **NDT:** Non-Destructive Test
  4. **PAS:** Pre-Award Survey
  5. **QMS:** Quality Management System
  6. **SAP:** Supplier Audit Program [Default]

- **(D) Date Audited:** Date audit was completed or is scheduled.
- **(D) Audited By:** Name of Individual who performed SAP audit.
- **(D) Phone:** The telephone number of the auditor.
- **Fax:** The FAX number of the auditor.
- **(M) DCMA Participated?** User selects if DCMA participated in the audit from a drop down list (Yes/No).
- **DCMA Audit?** Check box if DCMA conducted the audit (See Section 4.4).
- **Applicable Contract:** The contract for which the audit is being conducted.
- **(M) Supplier Personnel Contacted:** Record the corresponding data in the fields below for the supplier personnel contacted as listed by the auditor. At least one row of this data is required.
  1. **(M) Name**
  2. **(M) Title**
  3. **(M) Phone**
  4. **(M) Fax**

- **(M) Process List:** Select from the list the process that is being audited. For SAP Checklist & Procedures See Section 8.
• **(M) Inspection System Indicator:** Check at least one type inspection system being audited or enter the type of inspection system if it is different from those listed.
  1. ISO 9000
  2. MIL-I-45208
  3. MIL-Q-9858
  4. Other: Fill in if relevant

• **(M) Calibration System Indicator:** Check at least one type calibration system being audited or enter the type of calibration system if it is different from those listed.
  1. ISO 10012
  2. ANSI Z540
  3. MIL-STD-45662
  4. Other: Fill in if relevant

**Figure 4.2** Buttons

• **Save:** Saves the record.
• **Add/View Attachments:** Brings the user to the Attachments Page. see **Section 5.2** for additional information on attachments.
• **Save Draft:** Saves the record as Draft.
• **Cancel:** Returns to the previous page.
• **Lookup (CAGE):** See **Section 3.2**.
• **List DCMA Reps:** If DCMA Participated = Yes, associated DCMA Rep with the CAGE will be automatically pulled and their Name, Phone Number and Email will be autofilled (See **Figure 4.3**).

**Figure 4.3**

• **Add Process:** Will add the selected SAP Audit Process to the record.
  1. Select from the list box the relevant process that has been audited.
  2. Click the Add Process button.
  3. See **Figure 4.4** – additional fields associated with the selected process are initialized.
Figure 4.4 Data Fields

- **Process Audit Date**: Date the particular process was audited as part of the SAP audit.

- **Result**: Select the relevant Result:
  1. Not Applicable
  2. Partial
  3. Satisfactory
  4. Unsatisfactory
  5. Pending
  6. Subcontracted out

- **SubContractor CAGE**: If the process is one that was sub-contracted, input the CAGE associated with the Subcontractor. Use the Lookup button as described in Section 3.2 to find the relevant CAGE, or if the Subcontractor does not have a CAGE following a search, refer to Section 4.2.
  1. Click the Save New Processes button to add it to the record.
  2. Click the Cancel Add button to go back and not add the selected process.
  3. Once added, an Edit and Delete button will be visible that allows for editing the Date/Result/Subcontractor CAGE and Deleting the process from the audit respectively (See Figure 4.5).

Figure 4.5
Figure 4.6 Data Fields

- **(M) Supplier Product/Capability Overview**: Text field where user enters general purpose for audit.

- **(M) Auditor Overall Assessment**: Text field for auditor to summarize the assessment of the audit.

- **(M) Audit Results**: User indicates if audit results are SAT or UNSAT.

- **Applicable Corrective Action Report Number**: Corresponding CAR numbers can be entered if applicable.

- **Response Due Date**: Date selected for which CAR action is required.
- **(M) Follow-up Required?:** User selects if follow up is required from audit.
- **(M) Deficienc(ies) Requiring Corrective Action:** Text field for auditor to detail any deficiencies in need of corrective action.

![Image](image.png)

**Figure 4.7**

**Figure 4.7** Data Fields

- **(M) Corrective Action Complete?:** User indicates if Corrective Actions are complete.
- **ALERT – Indicate Systemic Problem:** Initialize a SAP Alert upon saving the record. See Section 6 for more information on SAP Alerts.
- **Alert Date:** Date for the SAP Alert; will be autofilled when the record is saved and has the SAP Alert Checkbox selected.
- **Alert Reason:** Text field for auditor to provide detailed reasons for the alert.
- **Auditor’s Note:** Text field where user can add relevant notes.

**NOTE:** The buttons present on the bottom of the SAP record are identical in functionality to those described in Section 4.1.C.
4.2 Add a Subcontractor CAGE

Occasionally, during the audit process, a subcontractor or company that does not have an official CAGE is encountered. Since these companies do not have a CAGE, the creation of a placeholder CAGE is permitted. Creation of a placeholder CAGE adds the company to the PDREP CAGE listing as an unofficial value that starts with a ‘#’ – this code is only used for record creation purposes in PDREP and should not be used as an actual CAGE for other purposes. It is just a way to record a company relevant as a subcontractor that does not have a CAGE.

A. Prior to adding a Placeholder CAGE, verify that the company does not have a CAGE (real or placeholder previously created) by searching the company in the CAGE Search. Follow the instructions provided in Section 3.2.

B. Once it is validated that there are no existing placeholders for the company, the process can continue.
   1. Click the Lookup button next to a CAGE Code field (See Figure 4.2 & Figure 4.3).
   2. The Lookup CAGE Code form displays (See Figure 4.8).

C. To create a PDREP placeholder CAGE:
   1. Click the Add New CAGE button on the Lookup CAGE screen (See Figure 4.8).
   2. A screen will load that will allow for filling in basic information about the company (See Figure 4.9).
3. Enter the information and click on Add. Verify that all information is correct before clicking Add.

4. Following clicking Add, the new Placeholder CAGE will be displayed autofilled into the field next to the Lookup button that was initially clicked.

5. Subsequent CAGE Lookups for the company submitted will include this Placeholder CAGE if it is forgotten.

### 4.3 Save Audit as Draft

To save an audit as a draft, click the Save Draft button at any time. Clicking the Draft button marks the record as a draft in the Status field visible on the SAP Search page (See Figure 3.3) and saves all the data on the page without a complete check of the mandatory fields on the page. Only fields marked with a ‘(D)’ are required in order to save the record as a draft. See Section 4.1 for full field descriptions.

### 4.4 Save a Completed Audit

To complete an audit, all fields marked by the ‘(M)’ mandatory indicator (See Section 4.1) are required. Additionally, the use of the Save button vice the Save Draft button will indicate that the record is complete. If any fields are not filled out with proper data, when the Save button is clicked, error messages will display to assist with filling out the record.

When editing an existing completed audit, it is important to validate that the Save button is clicked vice the Save Draft button when done, as to have the audit record not be placed in Draft status.
5 ADDITIONAL SAP FUNCTIONALITY

5.1 SAP History and Correspondence

To view history of a SAP record click on the View link in the History and Correspondence column (See Figure 5.1). The SAP History page displays (See Figure 5.1).

This history page will display the points at which the record is saved as Draft, as well as any messages sent via the Correspondence feature. Click the Cancel button to return to the SAP Search page.

To send messages via the Correspondence feature, click the Send link associated with the record on the SAP Search page. The Send Message page will display (See Figure 5.2).
Select a To/CC Recipient Activity and then a user from the subsequent list. Once selected, add the user to the To/CC list by clicking the Add Recipient or Add CC Recipient buttons respectively.

Choose a Correspondence Type. Options are:

A. Send a General Message [default]
B. Request QAR to Complete Audit
C. Notify Company POC of Audit Findings
D. Request Update from Company POC
E. Notification of Completed Corrective Actions
F. Send Tracer Regarding Audit Status

Type a message to be sent as the email message body.

Regardless of choice of correspondence type and message typed in, the selections will be retained in the database and will be visible on the history page.
5.2 Adding & Viewing Attachments

To upload an attachment, click the Add Attachments button in the SAP - Add/Edit page (See Figure 5.3) or click Attachment(s) link (See Figure 3.3) from the search results list.

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**Figure 5.3**

A. The Upload Attachment Listing screen displays (See Figure 5.4).

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**Figure 5.4**

B. Click the Add New Attachment button to select a file to upload.

C. The Upload Attachment screen displays (See Figure 5.5).
D. Click the Choose File button to select the file to upload and click the upload button. Up to three files can be uploaded at once. Once uploaded, the file will appear in a table (See Figure 5.6).

E. To add a Description or Comment, click the Edit button or click the delete button to remove the attachment (See Figure 5.7).
5.3 Deleting A SAP Record

To delete an entire Audit, click the Delete link (See Figure 3.3) for the record on the SAP Search page.

A. A message box will display asking for confirmation of the Delete. Select OK to confirm or click Cancel.

B. If the Delete was confirmed, a PDREP Message will display indicating the record was successfully deleted (See Figure 5.8). Click the Continue link to return to the SAP Search.
6 SAP ALERTS

SAP Alerts are mass-distribution notifications that go to all PDREP users that have indicated that they wish to receive SAP Alerts.

NOTE: Refer to NAVSEA 4855.38 Section 11 Part ‘g’ concerning the specific process and procedure used to identify an instance where a SAP Alert is warranted.

To request to be a recipient of SAP Alerts, follow the instructions as indicated in the introduction of this user guide regarding requesting additional access to the PDREP-AIS.

6.1 Creating a SAP Alert

Check the Alert - Indicate System Problem checkbox (See Figure 6.1), validate that all data is correctly entered on the record, provide an Alert Reason, and Save the record. Once saved, the user is automatically navigated to an Email screen (See Figure 6.2) that is used to distribute the SAP Alert.

![Figure 6.1](image-url)
The email addresses are automatically populated with personnel that have requested to be on the SAP Alert Email notification list. The Subject line and message are also auto-populated and may be changed.

A. Click the Send Mail button to forward the email to all recipients listed in the ‘To:’ or ‘CC:’ block.

B. Click the Print button to print the screen.

C. Click the Back button to return to the previous screen without sending the email.

Once the email is sent the SAP - Add/Edit page's Alert Date is set to the current date for the audit.
7 SEARCHING THE SAP DATABASE

7.1 SAP Report

The SAP Report functionality allows for searching the SAP database for records (audits) meeting certain designated criteria (See Figure 7.1).

Access the SAP Report via the SAP Report flyout on the main menu (See Figure 2.1) or the tab if already in the application (See Figure 7.1).

Fields used in the SAP Report as search criteria are,

- **(M) Start Date & End Date**
- **CAGE Code**
- **Audit Activity (DoDAAC)**
- **Alert Only:** If checked will only pull audits that contained a SAP Alert that meet the rest of the criteria
- **(M) Audit Status:** Option is present to show pending audits if desired, or to select completed audits meeting specific results for the audit itself or on a process-level basis
  1. Audit Results:
     i. Satisfactory
     ii. Unsatisfactory
  2. Process Results:
     i. Satisfactory
     ii. Unsatisfactory
     iii. Not Applicable
     iv. Partial

- **(M) Process Instructions:** Default option selects all processes. This is recommended unless the data pull desired is to be looking at only specific processes only.
Click Run Report at the bottom of the page. The system will return audits based on the criteria selected.

Results can be exported to excel and have the following columns of data:

A. Audit ID
B. CAGE Code
C. Company Name
D. Audit Date
E. Process Number
F. Process Result
G. Audit Result
H. Corrective Action Complete
7.2 SAP Ad Hoc

The Ad Hoc tool is a powerful query tool that allows for customized data pulls based on any number of different combinations of data columns and custom criteria.

Accessing the SAP Ad Hoc

To access the SAP Ad hoc report, click the SAP Ad Hoc Reports tab in the SAP module or via the fly-out link from the main menu (See Figure 2.1). Figure 7.2 illustrates the default display of the SAP Ad hoc Report interface.

Using SAP Ad Hoc

Please refer to the Product Data Reporting and Evaluation Program (PDREP) Ad hoc Search Tool User Guide for assistance using the SAP Adhoc Tool.

The Product Data Reporting and Evaluation Program (PDREP) Ad hoc Search Tool User Guide can be located at: https://www.pdrep.csd.disa.mil/pdrep_files/reference/guides_manuals/guides_manuals.htm (Figure 7.4) or can be found by clicking the User Guides selection under the Help menu on the top of any PDREP window (Figure 7.3).
Figures 7.3 and 7.4

Guides and Manuals

PDREP Guides and Manuals (pdf format)

General
- Attaching a file in PDREP
- Search Tools
- User Access Request

PDREP Tools
- ADHOC Search
- Contract award and Delivery (CAD) Data Application
- Contractor Profile
- Corrective Action Request (CAR)
- Customer Service Request Module
- Engineering Referral System (ERS)
- Material Inspection Reports (MIR)
- PDREP Search
- Quality Assurance Letter of Instruction/Letter of Delegation (QAL/LOD)
- Receipt Inspection Management System (RIMS)
- Supply Action Module (SAM)
- Supplier Audit Program (SAP)
- Supply Discrepancy Report (SDR)
- Surveillance Plan (SP)
- Survey, Special Quality, and Test Records Applications
- Virtual Shelf

Product Quality Deficiency Reports
- Originator Documents
- Originator instructions
- Local Purchase Instructions
- Screening Point Documents
- Screening Point Instruction
- Army Master Screener Instruction
- Action Point Documents
- Action Point Instructions
- Army Action Officer Instruction
- Support Point Documents
- 1277 Instructions
- QAR Investigation
- DRPM Investigation

Other Programs
- Exhibit and Shipment Tracking
- PDREP Prime Contractor
- Warranty and Source of Repair Tracking
8 SAP FILES

The SAP Files page contains reference material for the SAP Program as well as the SAP Checklists used when performing a SAP Audit. Specifically, that is:

A. SAP Process Audit Cover Sheet
B. NAVSEA Instruction 4855.38 – Supplier Audit Program
C. Current SAP Checklists in PDF and DOC format

After clicking the SAP Files flyout (See Figure 2.2) or the tab if already in the application (See Figure 8.1) the SAP Checklists and Procedures page will appear.
9 GLOSSARY

**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. This is also referred to as a Report Control Number (RCN) in typical PDREP terms.

**Audit Lead:** Activities that have audit responsibilities identified by NAVSEA. To determine who is the Team Lead refer to the SAP Shared Supplier List maintained by NAVSEA 06P. A link to the list is available by contacting NAVSEA 06P.

**CAGE:** Five position alphanumeric Commercial and Government Entity code for the contractor referenced in the record.

**DoDAAC:** Department of Defense Activity Address Code.
10 SUMMARY

This concludes the PDREP Supplier Audit Program application instructions. The PDREP Customer Support Desk is available to answer additional questions or to assist in data changes or exception processing and can be contacted as follows:

**E-Mail:** webptsmh@navy.mil

**Commercial:** (207) 438-1690

**DSN:** 684-1690

**Fax:** (207) 438-6535