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CONTINENTAL MARITIME OF SAN DIEGO WORK INSTRUCTION

Subject: Requirement for Vendors, Subcontractors and AITs/GSCs

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SUPERSEDES

Rev. B dated 03/31/2022

REVISION TYPE

Denotes

ROLES AND RESPONSIBILITIES

Position Title	Responsibility
Vice President, Contracts	Process owner who has overall responsibility and accountability for the subject process and this document
Subcontracts Manager	Responsible for ensuring adherence to this procedure, the final approval of new suppliers, and the approval of Material Support's Alteration Installation Team/Government Sponsored Contractor ("AIT/GSC") documents
Material Support Administrative Assistant ("MSAA")	Responsible for ensuring all documents and requirements have been fulfilled for establishing a company as vendors and subcontractors and facility access for AITs/GSCs
Environmental Health & Safety	Reviews and approves HSF-014 Contractor EH&S Pre-Performance Questionnaire and the approval of EHS AIT/GSC documents
Quality Assurance	Reviews and approves QA Form 080 Supplier Quality Questionnaire for new suppliers
Security	Responsible for approving access for new suppliers and final approval of AITs/GSCs

AUTHORIZATION

This document is authorized by the process owner for a period of three years, at the end of which, this document must be reauthorized by the process owner in accordance with CMO-A100.

PURPOSE

This work instruction sets forth the company requirements for the establishment of a company as a Vendor or Subcontractor. Additionally, access requirements for AITs/GSC.

SCOPE

This work instruction applies only to the following departments:

- Material Support
 - Environmental Health & Safety
 - Quality Assurance
 - Security
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DEFINITIONS

Acronym or Term	Definition
Supplier	<p>A provider of product, material or services employed in completion of a task. The term “supplier” refers to both subcontractors and vendors who provide product, material or services where the end quality must meet the customer’s specifications.</p> <ul style="list-style-type: none">• “Vendor” applies to suppliers who provide hardware, software, materials and services used by company personnel in completion of the task.• “Subcontractor” applies to suppliers who provide service on board Naval Vessels• “Facilities Subcontractor” applies to suppliers who provides service to the company with no involvement of work on board Naval Vessels.

Alteration Installation Team/Government Sponsored Contractor ("AIT / GSC")	Contractors that work for the Government.
The System for Award Management (SAM)	<p>combines the federal procurement systems and the Catalog of Federal Domestic Assistance into one new system. Currently SAM includes the functionality from the following systems:</p> <ul style="list-style-type: none"> • Central Contractor Registry (CCR) • Federal Agency Registration (Fedreg) • Online Representations and Certifications Application (ORCA) • Excluded Parties List System (EPLS)
Joint Certification Program (JCP)	<p>Certification required for the United States (U.S.) or Canadian Suppliers who wish to obtain access to unclassified technical data disclosing militarily critical technology with military or space application that is under the control of, or in the possession of the U.S. Department of Defense (DOD) or the Canadian Department of National Defense (DND).</p>
Conflict Minerals	<p>is defined as:</p> <ul style="list-style-type: none"> • Columbite-tantalite, also known as coltan (the metal ore from which tantalum is extracted); cassiterite (the metal ore from which tin is extracted); gold; wolframite (the metal ore from which tungsten is extracted), or their derivatives; <p>or</p> <ul style="list-style-type: none"> • Any other mineral or its derivatives determined by the U.S. Secretary of State to be financing conflict in the Democratic Republic of the Congo (DRC) or an adjoining country that shares an internationally-recognized border with the DRC, which presently

	<p>includes Angola, Burundi, Central African Republic, the Republic of the Congo, Rwanda, South Sudan, Tanzania, Uganda and Zambia.</p> <ul style="list-style-type: none">• Dodd-Frank Wall Street Reform and Consumer Protection Act mandates companies to disclose their use of conflict Minerals.
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PROCESS DETAILS.

Request for New Supplier

Material Support receives CMF-M201, or a written request, requesting the addition of a new Supplier or access requirements for an AIT/GSC.

Initiate Approval Process

The MSAA determines the classification.

- Vendor
- Subcontractor
- Facilities Subcontractor
- AIT / GSC

A Denied Party Screening (DPS) in accordance with CMO-M200 is required of all new CMSD suppliers and AITs/GSCs.

A W9 is required of all CMSD Suppliers.

Within 2 days of receipt of request, MSAA shall send approval documents to supplier to start the approval process via email.

- Suppliers are given 2 weeks to respond and/or return their completed approval documents. If urgent, the deadline may be shorter, and the deadline shall be determined based on urgency.
 - For AITs/GSCs, if the On-Site Installation Coordinator's ("OSIC") contractor approval documents have not been received by the deadline, the MSAA will not follow up with the OSIC.
 - For CMSD new Vendors and Subcontractors, if approval documents have not been received by the deadline, the MSAA shall send a follow up email to the Supplier and every week thereafter that the approval documents have not been received
 - ✓ A fifth follow-up email may result in the termination of the approval request. The requestor shall be notified to discuss this consideration.
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Approval Requirements

AIT / GSC

THE GOVERNMENT'S ON-SITE INSTALLATION COORDINATOR (OSIC) SHALL BE THE MAIN POINT OF CONTACT TO MANAGE THIS PROCESS.

Government OSIC's are responsible to obtain Material Support's required documentation from the AIT/GSC and submit them to CMSD's MSAA. The MSAA shall route the submitted documents for approval. Additionally, the OSIC shall contact Security to ensure all security requirements have been accomplished.

The MSAA accomplishes a DPS.

The OSIC accomplishes the following:

Required Document	Responsible Party	Process
CMSD Form CMF-M217 CMSD Form CMF-M218 CMSD Form CMF-M219	OSIC	The OSIC is responsible to obtain the completed required forms from their contractor and submit it to the CMSD MSAA to route for approval.
Subcontractor's Current Insurance Certificate	OSIC	The OSIC is responsible to obtain an insurance certificate with the required coverages from their contractor and submit it to the CMSD MSAA.
RMMCO Binder	OSIC	The OSIC is responsible to contact Security to review their RMMCO Binder with Security for approval
Ships Access List	OSIC	The OSIC is responsible to obtain the Ships Access List from their contractor and forward it to Security to process.
CMSD SECF-045 Certificate of Background Investigation	OSIC	The OSIC is responsible to obtain a completed form from their contractor and submit it to Security to process for approval.
SWRMC Standard Operating Procedure C390-1 Guidelines for Gaining Access to CMSD Shipyard	OSIC	The OSIC is responsible to review this document to ensure compliance with these guidelines.
CMSD SECF-063 AIT & 3 rd Party Checklist	OSIC	The OSIC may utilize this checklist as guidance with the approval requirements.

Vendors

For Vendors, the following are the requirements to become an approved Vendor with the company.

- The MSAA accomplishes a DPS.
- VGB-01 Vendor Guidebook is the company's terms and conditions. The Vendor Guidebook is given for review and informational purposes. It is the primary tool for both informing company Vendors of their role and responsibility and for providing information utilized in their evaluation and approval.
- CMF-M226 Supplier Signature Acceptance Form is given to Vendors to review, fill out, sign, and return back to Material Support.
- CMF-M205 Conflict Minerals Disclosure form is only required if the end product is manufactured by the company. If it is determined this form is required, it will need to be filled out, signed, and returned back to Material Support.
- QA Form 080 Supplier Quality Questionnaire is given to Vendors to review, fill out, sign and return back to Material Support. Additionally, if required, supporting documentation shall be submitted with QA Form 080 Supplier Quality Questionnaire. This form is the basis of approval by the Quality Manager.
- If applicable, HSF-014 Contractor EH&S Pre-Performance Questionnaire is given to Vendors to review, fill out, sign, and return back to Material Support. Additionally, if required, supporting documentation shall be submitted with HSF-014 Contractor EH&S Pre-Performance Questionnaire. This form is the basis of approval by the EH&S Manager.
- Current SAM certification is encouraged, but not mandatory.
If a Vendor has a current SAM certificate, it will suffice requirements of the annual representations and certifications. SAM certification can be found at <https://www.sam.gov>.
- Current Joint Certification Program (JCP) is required only if a Vendor needs access to unclassified military technical data and/or when requiring access to company facilities, in areas that unclassified military technical data are in plain view or sight. JCP certification can be found at <https://public.logisticsinformationservice.dla.mil/jcp/search.aspx>.
- W-9 is required from all Vendors.
- An Insurance Certificate is required only if a Vendor is required to work in CMSD's facility or it is necessary to have unescorted access in CMSD's facility.
- Form SECF-045, Certificate of Background Investigation, shall be filled out and returned to Security only if a Vendor is required to work in CMSD's facility or it is necessary to have unescorted access in CMSD's facility.

Subcontractors

For Subcontractors, the following are the requirements to become an approved Subcontractor with the company.

- The MSAA accomplishes a DPS.

- SGB-01 Subcontractor Guidebook is the company's terms and conditions. The Subcontractor Guidebook is given for review and informational purposes. It is the primary tool for both informing company Subcontractors of their role and responsibility and for providing information utilized in their evaluation and approval.
- CMF-M226 Supplier Signature Acceptance Form is given to Subcontractors to review, fill out, sign and return back to Material Support.
- EC-06 Best Management Practices is given to Subcontractors upon request.
- CMF-M205 Conflict Minerals Disclosure is only required if the end product is manufactured by the company. If it is determined this form is required, it will need to be filled out, signed and returned back to Material Support
- QA Form 080 Supplier Quality Questionnaire is given to Subcontractors to review, fill out, sign and return back to Material Support. Additionally, if required, supporting documentation shall be submitted with QA Form 080 Supplier Quality Questionnaire. This form is the basis of approval by the Quality Manager.
- HSF-014 Contractor EH&S Pre-Performance Questionnaire is given to Subcontractors to review, fill out, sign, and return back to Material Support. Additionally, if required, supporting documentation shall be submitted with HSF-014 Contractor EH&S Pre-Performance Questionnaire. This form is the basis of approval by the EH&S Manager.
- Current SAM certification is encouraged, but not mandatory. If a Subcontractor has a current SAM certificate, it will suffice requirements of the annual representations and certifications. SAM certification can be found at <https://www.sam.gov>.
- Current Joint Certification Program (JCP) is required only if a Subcontractor needs access to unclassified military technical data and/or when requiring access to company facilities in areas that unclassified military technical data are in plain view or sight. JCP certification can be found at
- <https://public.logisticsinformationservice.dla.mil/jcp/search.aspx> W-9 is required from all Subcontractors.
- An Insurance Certificate is required only if a Subcontractor is required to work in CMSD's facility or it is necessary to have unescorted access in CMSD's facility.
- Form SECF-045, Certificate of Background Investigation, shall be filled out and returned to Security only if a Subcontractor is required to work in CMSD's facility or it is necessary to have unescorted access in CMSD's facility.

Facilities Subcontractors

For Facilities Subcontractors, the following are the requirements to become an approved Facilities Subcontractor with the company.

- The MSAA accomplishes a DPS.
- CMG-M201 Facilities Guidebook is company terms and conditions. The Facilities Guidebook is given for review and informational purposes. It is the primary tool for both informing company Facilities Subcontractors of their role and responsibility and for providing information utilized in their evaluation and approval.

- CMF-M212 Facilities Subcontractor Signature Acceptance Form is given to Facilities Subcontractors to review, fill out, sign, and return back to Material Support. When signed by Facilities Subcontractors, it indicates that the Facilities Subcontractor accepts company terms and conditions.
- EC-06 Best Management Practices is given to subcontractors upon request.
- HSF-014 Contractor EH&S Pre-Performance Questionnaire is given to Facilities Subcontractors to review, fill out, sign, and return back to Material Support. This form is the basis of approval by the EH&S Manager.
- W-9 is required from all Facilities Subcontractors.
- An Insurance Certificate is required only if a Facilities Subcontractor is required to work in CMSD's facility or it is necessary to have unescorted access in CMSD's facility.
- Form SECF-045, Certificate of Background Investigation, shall be filled out and returned to Security only if a Facilities Subcontractor is required to work in CMSD's facility or it is necessary to have unescorted access in CMSD's facility.

NOTE: AN APPROVAL MATRIX IS INCLUDED AT THE END OF THIS WORK INSTRUCTION CAPTURING THE APPROVAL REQUIREMENTS OF VENDORS AND SUBCONTRACTORS.

Routing for Approval

Upon receipt of all required documents, the MSAA shall route for approval.

- The MSAA shall route for approval via email. In the email, a link is included for the documents required to approve and a link to the spreadsheet that the approver is required to update.
- The "New Supplier Approval" spreadsheet is utilized to track the status of a new supplier in the approval process. It can be found on the T drive in Material Support's Shared folder. Only employees that are required to update the spreadsheet shall have full access; all other employees shall have read only access.
- The "AIT Approval" spreadsheet is utilized to track the status of access approval for an AIT/GSC. It can be found on the S drive in the AIT folder. Only employees that are required to update the spreadsheet shall have full access; all other employees shall have read only access.
 - In addition to tracking the status of an AIT/GSC, the submittal dates of their Plan of Action and Milestones (POAMs) and any issues with them are documented on the "AIT Approval" spreadsheet by the Planners.
 - Security will update the "AIT Approval" spreadsheet with date of completion, upon approval of the subcontractor's RMMCO Binder and submittal of the SECF-045 form.
- Approvers shall review and approve documents within 2 days. If urgent, which will be indicated in the email, Approvers shall approve documents the same day.

REFERENCE

Procedures:

- CMSD CMO-M200 Denied Party Screening
- CMSD EC-06 Best Management Practices
- SWRMC Standard Operating Procedure C390-1 Guidelines for Gaining Access to CMSD Shipyard

Form:

- CMSD CMF-M201 Request for New Supplier Form
- CMSD CMF-M205 Conflict Minerals Disclosure
- CMSD CMF-M226 Supplier Signature Acceptance Form
- CMSD HSF-014 Contractor EH&S Pre-Performance Questionnaire
- CMSD QA Form 080 Supplier Quality Questionnaire
- CMSD SECF-045 Certificate of Background Investigation
- CMSD CMF-M217 Memorandum of Agreement (MOA)
- CMSD CMF-M218 Agreement for Access to Continental Maritime of San Diego Premises by Government Sponsored Contractor
- CMSD CMF-M219 EHS Assessment Form for Government Sponsored Contractors
- CMSD SECF-063 AIT & 3rd Party Checklist

Guidebook:

- CMSD SGB-01 Subcontractor Guidebook
- CMSD VGB-01 Vendor Guidebook
- CMSD CMG-M201 Facilities Contractor Guidebook

Attachments

- Approval Matrix

Approval Matrix

This is generally the requirements to become an approved Supplier with CMSD. Based on the requirements of a suppliers, these requirements are subject to change

Required Approval Documents & Certifications	Responsible Party	Document or Certificate Owner	Vendors	Facilities	Subcontractors
DPS	CMSD MSAA	CMSD MS	X	X	X
Financial Check	CMSD MSAA	CMSD MS	X	X	X
FAPIS	CMSD MSAA	FAPIS Site	X		X
NAICS Code	CMSD MSAA	SAM Website	X		X
Insurance Certificate	Suppliers	Suppliers		X	X
W9	Suppliers	IRS Website	X	X	X
SAM Certificate	Suppliers	SAM Website	X		X
JCP Certificate	Suppliers	JCP Website			X
VGB	Suppliers	CMSD MS	X		
FGB	Suppliers	CMSD MS		X	
SGB	Suppliers	CMSD MS			X
CMF-M226	Suppliers	CMSD MS	X		X
CMF-M212	Suppliers	CMSD MS		X	
QA Form 080	Suppliers	CMSD QA	X	X	X
HSF-014	Suppliers	CMSD EH&S	X	X	X
SECF-045	Suppliers	CMSD Security		X	X