



# SUPPLIER DISPOSITION REQUEST (SDR)

(Form ANL-311 includes instructions and continuation sheet.)

Page \_\_\_ of \_\_\_

(CHECK ONE)

1A. Deviation Request

1B. Nonconformance Action Request

2. SDR No. \_\_\_\_\_

3. SDR Date \_\_\_\_\_

4. Supplier Name, Address, Telephone, Fax

5. Purchase Order No. \_\_\_\_\_

6. Related Documents

6.1 \_\_\_\_\_ Date \_\_\_\_\_

7. Qty.

8. Describe Nonconforming Condition

9. Identify Requirement

10. Cause & Corrective Action

SUPPLIER'S COMMENTS  
(IF YES, EXPLAIN):

11. Affects Form, Fit or Function

Yes  No \_\_\_\_\_

12. Affects Price

Yes  No \_\_\_\_\_

13. Affects Delivery

Yes  No \_\_\_\_\_

14. Recommended Disposition and Comments:

15. SUPPLIER REPRESENTATIVE – TITLE – DATE

16. ANL REPRESENTATIVE – DATE

17. ANL Disposition and Remarks:

18. Approved

TECHNICAL REPRESENTATIVE – DATE

QUALITY ASSURANCE REPRESENTATIVE – DATE

PROCUREMENT REPRESENTATIVE – DATE

# INSTRUCTIONS FOR USE OF THE ARGONNE NATIONAL LABORATORY SUPPLIER DISPOSITION REQUEST (ANL-311)

Reference: ANL Quality Assurance Procurement Requirements (ANL-407) Item 4.18

- A. The Supplier Disposition Request (SDR) ANL Form 311, including instructions, and continuation sheet, are submitted to the ANL Procurement Representative by a supplier, who during the course of an ANL contract requests deviation from the technical requirements of the contract, or detects nonconformance requiring action (disposition) by ANL. The SDR is reviewed by ANL, and disposition is prescribed by ANL. The SDR is returned to the supplier by the ANL Procurement Representative. The SDR form is an ANL stock item; when completed, the SDR is a quality record. An ANL contract includes the purchase order, statement-of-work, technical specification, schedule of requirements, data requirements, or other requirements that are part of the contract between ANL and the supplier.

The SDR may be used by the supplier to report on services as well as material items to be offered for use by ANL. The processing of an SDR is not to limit or affect the warranty provisions of an order. ANL approval of an SDR does not establish a precedent or obligation to accept a future SDR.

- B. Deviation Request – Requests for changes to requirements, specifications, standards, or drawings are considered deviations (SDR Item 1A).
- C. Nonconformance Action Request – Nonconforming items are those line items in the contract that, during or after processing, are found discrepant by performance evaluation, inspection, assembly, installation, testing, or other means (Item 1B). The supplier prepares an SDR reporting nonconformance to ANL after completion of an internal report of nonconformance.
- D. A separate SDR is prepared for each service, part number, product, or contract, but not for separate nonconformances, and not for separate requests for deviation. When more than one part is ordered with the same part number, use the part serial number, if available, when describing the nonconforming condition. For example, several nonconformances may be reported on the same SDR for part number B-1579 (nonconformances for item serial #134 and item serial #196).
- E. Upon recording a condition needing ANL action, the supplier segregates and identifies affected material, and reports the condition using an SDR. CONTINUED PROCESSING OF AFFECTED MATERIAL IS AT THE SUPPLIER'S RISK. The supplier should not ship an item that is the subject of an SDR until the approved SDR is received from ANL. Related correspondence and/or inquiries should reference the SDR Number.
- F. For clarity, the meaning of several dispositions that may be recorded by the supplier in Item 10 or by ANL in Item 17 is explained below:

**Approved:** ANL accepts the supplier's recommended action without exception.

**Disapproved:** The supplier's recommended action is not acceptable to ANL. ANL will specify disposition on the SDR.

**Conditionally Approved:** The supplier may proceed with processing in accordance with the ANL remarks in Item 17 of the SDR.

**Rework:** This disposition applies to discrepancies that the supplier can eliminate with further processing, so that the unit conforms to requirements.

**Repair:** The process of restoring a nonconforming material, item, or characteristic to an acceptable condition. Repair may follow a supplier-specified, step-by-step procedure that produces a functional and safe condition. The procedure, and description of the repair, is to accompany the item when it is submitted for ANL acceptance. Acceptance is determined by ANL evaluation of the results of the repair.

**Modify:** This disposition identifies the need for a change in requirements, e.g., a design change. Before the supplier may proceed, ANL is to issue a contract change.

**Reject:** Requires that the supplier discard the item unless fabricated from material provided by ANL (in which case special instructions for disposition are issued by the ANL Procurement Representative). Rejected parts identified by serial numbers may not be replaced by new parts using the same numbers. If serial numbers were supplied by ANL, then additional numbers may be obtained from the Procurement Representative.

**Accept-as-is:** This disposition is permitted when ANL establishes that the nonconforming item or characteristic as reported will not affect intended use; the reported item may be offered for acceptance by ANL. No correction of the item or characteristic is needed; however, the cause and supplier-recommended action to prevent recurrence of nonconformance is to be implemented.

- G. Action by ANL is initiated when a copy of the SDR is received from the supplier by the ANL Procurement Department.
1. If the supplier's facility is visited by an ANL Representative, the completed SDR may be reviewed and commented on by the ANL Representative if the reported condition is witnessed. The Item 16 signature of the witnessing ANL Representative indicates that the data in Items 1 through 15 is verified for factual accuracy. Following this review, the SDR is sent by the supplier to the ANL Procurement Representative identified in the contract. Subsequent communication to resolve open issues is between the Supplier Representative who signs the SDR and the ANL Procurement Representative.
  2. Nonconforming material that is approved by ANL to be offered for acceptance by ANL, is verified against the SDR and ANL requirements, when received by ANL.
- H. The supplier retains a copy of the SDR completed through Item 16, and submits the original of the SDR to the ANL Procurement Representative.

- I. When the SDR has been reviewed and the disposition is approved by ANL, a copy of the SDR completed through Item 18 is returned to the supplier by the Procurement Representative.
- J. A copy of the SDR (signed by ANL) is included in each shipment for the contract, that follows the date of the SDR. In case of multiple shipments, the SDR in the final shipment is marked "FINAL SHIPMENT."

**K. Itemized Form Instructions**

Page No. Indicate total pages in the SDR, including attachments.

1A & 1B Check one box. Do not check both boxes on one SDR; use a separate SDR instead.

2 SDR No. (See Item 5 below.)

3 SDR Date. The supplier enters the date that the SDR is initiated.

4 Enter supplier name, address, city, zip code and telephone and fax numbers including area code.

5 ANL purchase order (or contract number). The number is also entered in Item 2 as the SDR number. The first SDR prepared for an order is (SDR number) – 1, the second SDR is (SDR number) – 2, etc.

6 Related documents

6.1 Identification and date (e.g., drawing, specification). Second document and date is 6.2, etc.

7 Enter quantity of items or services addressed in 8, 9, 10.

Note: Complete Items 9 and 10 for a Deviation Request. Complete items 8, 9, and 10 for a Nonconformance Action Request. The supplier should state the requirements and tolerances specified in the ANL contract, the actual condition, and the extent that the actual condition is above or below tolerance. In addition, a sketch, narrative description, or photo may be provided on the continuation sheet to help describe location or condition. The cause of the request, requested action, rationale for the action, and the action taken and to be taken by the supplier to prevent recurrence of nonconformance, is explained, including action dates and hardware serial numbers.

8, 9 For a request for a deviation from a requirement, the supplier enters "Not Applicable" in Item 8, and identifies the requirement in Item 9 as instructed below. For a nonconformance, the supplier identifies in Item 8 the part name and part number of the nonconforming part, and the part serial number, if any. Describe the nonconforming condition, in relation to the requirement. Also quantify the variation from the requirement. In Item 9 the supplier identifies the requirement and states where the requirement appears (e.g., in the PO, statement-of-work, technical specification, data requirements, drawing).

10 For a Deviation Request the supplier states the deviation being requested. For a Nonconformance Action Request, the supplier typically states the recommended corrective action for each nonconforming item, and includes actions that will prevent the nonconformance from reoccurring. Item 10 may be left blank for action to be determined later. The supplier should include the date that action was taken, or is to be taken.

11, 12, 13 Answer Yes or No – if Yes, explain.

14 Recommended Disposition and Comments – The supplier states in Item 14 the reason for requesting a deviation from requirements, or the cause of the nonconformance described in Item 8. Additional comments by the supplier are also included in Item 14 (e.g., attachments to the SDR, related SDRs).

15 Printed name and title of Supplier Representative and date. Signature above.

16 Printed name and title of a witnessing ANL Representative at the supplier's site who reviews Items 1 through 15 for accuracy, and date of review. Signature above. See Item G above. If the SDR is not witnessed by an ANL Representative, the supplier enters "Not Applicable."

17, 18 For ANL use only.

Printed name and date, signature above, of the ANL Technical Representative, Quality Assurance Representative, and Procurement Representative. The technical representative for the ANL project (typically, the technical representative for the procurement, if one is prescribed in the contract) reviews the entries in Items 1 through 15, and records in Item 17, and approves for ANL, the disposition that will be implemented. The signatures of the Quality Assurance Representative for the ANL organization that initiated the order, and the Procurement Representative, indicate concurrence with the ANL disposition. Discussion between the Supplier Representative and the three approvers may be needed to resolve open issues before signing. The technical representative for the ANL project ensures that the approved disposition recorded in Item 17 is completed.