FORMATION OF LOTS

I. **PURPOSE AND SCOPE.** This subsection provides procedures for lot formation and identification and is applicable to Government Quality Assurance Representatives (QARs) and other Government personnel performing origin inspection on Defense Supply Center Philadelphia contracts.

II. **PROCEDURES.**

A. General Information.

1. The term lot shall mean "inspection lot" or "inspection batch," i.e., a collection of units of product from which a sample is to be drawn and inspected to determine conformance with the acceptability criteria. It may differ from a collection of units designated as a lot or batch for other purposes (e.g., production lot or shipping lot).

2. Lot formation and presentation, sampling plan selection, and attendant considerations shall be discussed and resolved prior to the production of the contract item. All relevant factors, such as: time limitations imposed by specification, contractor's production capacity, contract quantity, and shipping schedules, shall be considered in establishing a lot range that permits selection of the largest lot size possible. For contracts on Government acceptance inspection, the manner in which each lot is presented and identified shall be designated by the Government inspection personnel in cooperation with the contractor. For contracts on contractor inspection, the Government reserves the right to approve any part of the contractor's program, or the program in its entirety, for lot identification and presentation. The verification inspector shall identify and number lots in agreement with the system and method used by the contractor.

B. **Lot Formation.** The product shall be assembled into identifiable lots consisting of units of product of a single type, grade, class, size, and composition, manufactured under essentially the same conditions and agreement pertaining to physical arrangement of lots.

1. When stationary and/or moving lots are present, sampling for testing and examination shall be made on a stationary lot basis when practical. Samples for testing shall come from samples for examination. Sublotting may be employed when in the best interests of the Government.

2. Product shall be accessible from all portions of the lot for sampling.

3. The integrity of the lot shall be maintained. No units may be added or removed from the lot or sublot after it is offered for Government sampling. Rejected material shall be identified and kept separated.

4. Production scheduled for both export and domestic shipment which is identical in all requirements except for the shipping containers and the packaging, packing, marking, and strapping thereof, may be identified and inspected as one lot for all examinations except for those for packaging, packing, labeling, unitization and marking

(PPLU&M). Inspection records shall indicate that separate inspections were performed for the domestic and the export PPLU&M requirements.

C. Lot Identification.

1. Initial Lots. To simplify lot identification of initial lots, the following guidelines are provided:

a. Julian dates shall be used when possible.

b. Lot identification consists of item nomenclature and a consecutive coding system, e.g., "MRE Assembly, Lot 1," "MRE Assembly, Lot 2". If a Julian date is used as a basis for lot numbering, "MRE Assembly Lot 5048," "MRE Assembly, Lot 5049" (the numbers represent the Julian dates of calendar days 17 Feb 1985 and 18 Feb 1985). If more than one lot of an item is produced in one day, the lot numbers shall be followed by "-1," "-2," etc. to identify the first and consecutive lots produced that day. Judgement must be exercised to employ the most effective system for each individual set of circumstances.

c. Code designation applied to production lots by contractor may be used as inspection lot numbers when only one code is presented for inspection. When more than one code is presented as an inspection lot, the lot shall be numbered in accordance with paragraph II.C.1.b, and inspection records shall indicate contractor codes represented in the inspection lot.

d. Each raw material or packaging and packing component requiring testing, examination, or both, shall be formed into separate lots sequentially numbered for each material, eg., Shortening, Lots 1 and 2, Waxed Paper, Lot 1.

e. When inspecting sub-assemblies that will comprise a finished production lot, each sub-assembly inspection lot shall have its own unique lot number assigned to it. For example, accessory packets for a ration assembly operation shall have their own lot numbers unrelated to those lot numbers applied to the complete finished ration.

2. Two methods the contractor may use in numbering resubmitted lots are "separate" (the good items are screened out and submitted as a lot and the nonconforming items submitted in a separate lot after rework) or "intact" (the complete lot is resubmitted after rework as one intact lot). The QAR shall designate resubmitted lots as follows:

a. When a nonconforming lot is resubmitted under the "separate" procedure, inspection records shall show the original lot number followed by the letter "S" and the reworked portion by the letter "R" on the inspection records. For example, Lot No. 16 in nonconforming and is resubmitted, the satisfactory portion shall be numbered S16 A," and the reworked portions shall be numbered "R16 A."

b. When a nonconforming lot is resubmitted under the "intact" procedure, inspection records shall show the original lot number followed by a capital letter; for example, Lot No. 16 is nonconforming and resubmitted, the resubmitted lot shall be numbered "16A."