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CP3-QA-2001 FRev. 2	**TITLE**: Approved Supplier Selection, Evaluation, Approved Supplier Maintenance	Page 1 of 24

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REVISION/CHANGE LOG

Revision/Change Letter	Description of Changes	Pages Affected	Date of Revision/Change
0	Initial Release. Changes from FPDP to FRNP throughout document; Title changes consistent with Transition Title Change Crosswalk; Bluesheet Document Number: CP3-QA-2001 FRev. 0, original document number: CP3-QA-2001, R0.	All	10/30/2017
1	Revisions made throughout the procedure to comply with quality assurance requirements addressed in the Four Rivers Nuclear Partnership (FRNP), LLC. Paducah Gaseous Diffusion Plant (PGDP) Deactivation and Remediation (D&R) CP2-QA-1000, *Quality Assurance Program Description for the Paducah Gaseous Diffusion Plant, Paducah, Kentucky*.	All	1/09/2018
2	Added clarification in Section 6.0 text to address acceptance of third party documentation for placement of suppliers on ASL and/or retention of suppliers on the ASL; text addressing the submission of supplier assessment/audit documentation into EFCOG Master ASL. Revision to address CA-001586, AI-0002207.	All	3/12/19

TABLE OF CONTENTS

1.0 PURPOSE AND SCOPE 3
1.1 Purpose 3
1.2 Scope 3
2.0 REFERENCES 3
2.1 Use References 3
2.2 Source References 4
3.0 COMMITMENTS 4
4.0 RESPONSIBILITIES 4
4.1 Requestor/Requisitioner 4
4.2 Lead Assessor 4
4.3 Quality Assurance/Quality Control Program Manager (Quality Manager) 4
4.4 Technical Subject Matter Expert 5
4.5 Engineering 5
4.6 Procurement 5
4.7 WCO/Alternate WCO 5
5.0 GENERAL INFORMATION 5
6.0 INSTRUCTIONS 6
6.1 New Approved Supplier Process 6
6.2 Identification of Supplier Pre-Approval Submittals 8
6.3 Review of Supplier Submittal Information 9
6.4 On-Site Supplier Assessment 11
6.5 Maintenance of Approved Supplier List 12
6.6 Periodic Evaluation of Approved Suppliers 12
6.7 Commercial Grade Dedication Process 14
7.0 RECORDS 14
7.1 Records Generated 14
7.2 Records Disposition 14
APPENDIX A – ACRONYMS/DEFINITIONS 15
CP3-QA-2001-F01 - SUPPLIER QA ASSESSMENT RESULTS 19
CP3-QA-2001-F02 -SUPPLIER QA PROGRAM ASSESSMENT CHECKLIST 20
CP3-QA-2001-F05 - SUPPLIER SERVICE PERFORMANCE 24

1.0 PURPOSE AND SCOPE

1.1 Purpose

This procedure provides the *Four Rivers Nuclear Partnership (FRNP), LLC. Paducah Gaseous Diffusion Plant (PGDP) Deactivation and Remediation (D&R)* instructions for performing assessments of suppliers during the procurement process, maintaining the Approved Supplier List (ASL), and ensuring supplier evaluation requirements are defined and implemented.

1.2 Scope

This procedure applies to all FRNP employees and staff augmentation personnel involved with the procurement of items and/or services. Subcontractors performing contract work per contract requirements and according to the Quality Assurance Program Description document are also required to implement this procedure.

Suppliers of items and/or services that are deemed by management to have project significance (such as, cost, schedule, reliability, etc.) may be evaluated to standard industry acceptance criteria using the applicable portions of this procedure. CP3-QA-2002, *Surveillance*, may be used to support the supplier evaluation process for example, instances where source surveillance is used to accept an item or service.

Supplier evaluation and selection may include one or more of the following:

- History of supplier providing identical or similar product, which performs satisfactorily in actual use.
- Supplier quality record information and practices that can be objectively evaluated through written documents and recognized certification(s) or accreditation to established standards.
- Supplier's technical and quality capability as determined by direct evaluation of facilities, personnel, and the implementation of supplier's Quality program.
- Review of assessment documentation from the Energy Facility Contractors Group (EFCOG) Master Approved Supplier's List as the basis for assessment of qualified suppliers and/or retention of approved supplier's listed on the FRNP ASL.

EXCEPTIONS:

- Transportation service carriers (for example, trucking companies) approved under the United States (U.S.) Department of Energy (DOE) motor carrier evaluation program and monitored by the Transportation Manager are exempted from the requirements of this procedure.
- As stated in the Quality Assurance Program Document (QAPD) "suppliers of services that work fully under the QAPD and procedures (referred to as staff augmentation) are exempt from this procedure as they are controlled similar/equivalent to FRNP employees under the DOE approved QAPD and procedures/programs."
- Current ASL suppliers affected by changes in this procedure are considered grandfathered through the next scheduled review date.

2.0 REFERENCES

2.1 Use References

- CP3-EN-0307, *Engineering Procurement Specification*
- CP3-EN-0400, *Quality Level Determination*
- CP3-QA-2502, *Commercial Grade Items and Services*

2.2 Source References

- 10 CFR 830.122, *Quality Assurance Criteria*
- American Society of Mechanical Engineers (ASME) NQA-1-2008, *Quality Assurance Requirements for Nuclear Facility Applications* (with Addenda through 2009)
- CP2-QA-1000, *Quality Assurance Program Description for the Paducah Gaseous Diffusion Plant, Paducah, Kentucky*
- CP3-CP-0001, *Request For Purchase*
- CP3-QA-1004, *Independent Assessment Program*
- CP3-QA-1008, *Assessor Qualification, Training, and Certification*
- CP3-QA-2002, *Surveillance*
- CP3-QA-2003, *Quality Inspection*
- CP3-QA-2005, *Nonconformance Control*
- CP3-QA-2500, *Procurement, Inspection and Management of Items Critical for Paducah Off-Site Waste Shipments*
- CP5-CP-1001, *CostPoint Desk Reference Guide*
- DOE M 435.1-1, *Radioactive Waste Management Manual*
- DOE Order (O) 414.1D, *Quality Assurance*
- DOE O 435.1, *Radioactive Waste Management*
- EM-QA-001, *Office of Environmental Management (EM) Quality Assurance Plan (QAP)*

3.0 COMMITMENTS

None

4.0 RESPONSIBILITIES

4.1 Requestor/Requisitioner

Implements this procedure to determine the need for a new supplier, assists Engineering in identifying the proper Quality Level for structures, systems and components (SSC) for an item and/or service being procured, supports the Commercial Grade Dedication (CGD) process for QL-2 items or services, and completes the CostPoint purchase requisition as addressed in CP3-CP-0001, *Request for Purchase,* and CP5-CP-1001, *CostPoint Desk Reference Guide*.

4.2 Lead Assessor

4.2.1 Implements procedure to determine the qualification of a supplier for addition to the ASL.

4.2.2 Attains and/or Maintains qualifications according to CP3-QA-1008, *Assessor Qualification, Training, and Certification.*

4.3 Quality Assurance/Quality Control Program Manager (Quality Manager)

Ensures proper implementation of this procedure.

4.4 Technical Subject Matter Expert

Assists Lead Assessor in the performance of a supplier evaluation.

4.5 Engineering

4.5.1 Assists Lead Assessor with determining the qualification of a supplier for addition to the ASL.

4.5.2 Establishes the Quality Level for items and services according to CP3-EN-0400, *Quality Level Determination.*

4.6 Procurement

Assists the Lead Assessor in obtaining supplier information as well as ensuring Engineering, Quality, and the Waste Certification Official (WCO) (if Nevada National Security Site [NNSS] Waste Certification Program-related) are included in the review and approval cycle.

4.7 WCO/Alternate WCO

Assists the Lead Assessor as a Subject Matter Expert (SME) in evaluating Supplier's for items or services associated with NNSS requirements.

5.0 GENERAL INFORMATION

- A laboratory that provides data used to support environmental monitoring, environmental restoration, site characterization, or waste characterization activities must attain accreditation according to the Department of Energy Consolidated Audit Program Accreditation Program (DOECAP-AP). Exceptions are laboratories that provide analyses solely used for qualitative purposes, geotechnical analyses, or innovative technologies **NOT** performed by contracted DOECAP-AP audited laboratories. These exceptions should be determined by the project team during the Data Quality Objective process and must be approved by the appropriate Functional Area Manager (FAM) and the Quality organization.

- Performance qualification audits of non-radiological material treatment, storage, and disposal facilities (TSDF) performed by DOECAP shall be reviewed by a Lead Assessor on a four year basis to confirm the DOECAP audit covered the services being procured from these suppliers. The review shall be documented on CP3-QA-2001-F01, *QA Assessment Results*.

- Performance qualification assessments of radiological material TSDF performed by DOECAP shall be reviewed by a Lead Assessor on an annual basis to confirm the DOECAP audit covered the services being procured from the TSDF. The review shall be documented on CP3-QA-2001-F01.

- When a DOECAP-AP audit of a laboratory or a DOECAP audit of radiological and non-radiological material TSDF has **NOT** been performed or was deemed by Quality and the Sample Management Office (for analytical laboratories) to be necessary based on the services being procured, a Quality assessment will be performed according to Sections **6.2** through **6.4** of this procedure prior to the supplier being placed on the ASL.

- Suppliers that do **NOT** have a quality program that complies with NQA-1 requirements,and provide items and/or services that meet the description of commercial grade items according to CP3-EN-0307, *Engineering Procurement Specification*can be evaluated or surveyed for commercial grade dedication.
- Utilizing the commercial grade dedication process, a commercial manufacturer/distributor of measuring and test equipment (M&TE) which meets specification requirements for the M&TE application may be used as a supplier. Quality will evaluate the supplier to determine requirements are met for inclusion on the ASL, including the ability to provide the necessary and appropriate calibration documentation. Calibration documentation includes Certificates of Compliance and/or Certificates of Calibration, etc., from the manufacturer demonstrating compliance with recognized acceptance standard(s) for the items or services being purchased.
- Suppliers of M&TE are placed and maintained on the ASL as an acceptable supplier, provided Quality has determined they meet the requirements for inclusion on the ASL, including the ability to provide the necessary and appropriate Quality documentation addressed in NQA-1 Requirement 7, *Control of Purchased items and Services*, Section 503 for the development, approval, and submission of certificate of conformance. Documentation includes Certificates of Compliance, Certificates of Calibration, etc., for the calibration of the M&TE to recognized acceptance standards.
- Using an approved supplier to serve as a "pass through" for purchase of an item or service from an unapproved supplier is **NOT** acceptable, unless the quality of the item/service is verified by the approved supplier.
- Approval for procurement of capital equipment or specially designed installations are subject to technical evaluations according to the procurement process. Acceptance criteria may be confirmed by inspection and testing requirements of CP3-QA-2003, *Quality Inspection*, and/or perform a survey of the supplier as required by CGD requirements addressed in CP3-EN-0307.

6.0 INSTRUCTIONS

6.1 New Approved Supplier Process

<u>Requestor</u>

6.1.1 Based on the type of item or service needed, review the ASL to determine if there is an approved supplier to provide the item or service.

6.1.2 **If** a new supplier is needed, **then** provide justification and proceed with the steps below.

6.1.3 Obtain the item or service quality level determination according to CP3-EN-0400, *Quality Level Determination*.

6.1.4 **If** the item or service does not have a valid quality level determination **then** initiate the process as described in CP3-EN-0400.

6.1.5 Provide the following relative information to Quality Assurance with request for new approved supplier:

- quality level determination information,
- the item or service and acceptance criteria,
- verification requirement(s),

- dedication method (for commercial grade items), and
- justification and charge code for supplier evaluation

NOTE:

For waste containers and other items or services deemed NNSS critical under CP3-QA-2500, *Procurement, Inspection and Management of Items Critical for Paducah Off-Site Waste Shipments,* this process shall be invoked for inclusion into the ASL under this procedure.

Waste Management personnel with experience in assessment applications and are qualified/knowledgeable with Department of Transportation (DOT) Regulations shall be required to be a member of an assessment team (as a technical representative) associated with waste containers and waste management items critical to off-site shipments.

Lead Assessor

NOTE:

CP3-QA-2001-F03, *Prospective New Supplier Questionnaire,* may be used to request and organize information from a new supplier but is **NOT** required.

6.1.6 **If** a new supplier is to be added to the ASL, **then** initiate the supplier assessment with the information provided by the Requestor.

NOTE:

The following may be used as a resource for selection of qualified suppliers and/or retention of approved supplier's listed on the FRNP Approved Supplier's list, as applicable.

- Supplier assessment results from another DOE contractor
- DOE EFCOG Master Approved Supplier's List
- DOECAP or DOECAP-AP
- Evaluation of recognized independent certification or accreditation as a means to review objective evidence for conformance to contract document requirements (ONLY for calibration and testing laboratories).

6.1.7 Request the types of Quality Program documents and records that will be needed to determine the supplier's capabilities based upon the expected procurement activity. Implement the use of the Supplier QA Assessment Results (CP3-QA-2001-F01) form when using the resources listed above for placement and/or reevaluation of a supplier listed on the ASL.

NOTE:

The supplier may or may **NOT** be required to be evaluated or included on the ASL based on the following:

- **NOT** Required or Optional - Evaluation for inclusion on ASL is optional or **NOT** required if ALL Critical Characteristics for Acceptance can be verified by inspection or special testing after arrival on site.
- Required – Evaluation is required if the method is reliant upon a Certificate of Conformance (CoC) or Certified Material Test Report (CMTR) from the supplier **OR** if the supplier is relied on for Critical Characteristics for acceptance prior to on-site arrival. Concerning CoC or CMTR, NQA-1 requires that all aspects of NQA-1, Part 1, and Requirement 7 (503) be met prior to utilizing CoC or CMTR. This includes a quality assurance program and verification of the validity of the certificate process to support the QL-2 procurement. This could involve sub-tier or multiple suppliers involved in the certificate supply chain.

6.1.8 Determine if an on-site assessment of the supplier's Quality program and capabilities will be required based on procurement requirements, the review of supplier's responses and the requirements of this procedure.

6.1.9 Contact Engineering or appropriate Subject Matter Expert (SME) as needed for support in making the determination.

NOTE:

The requesting organization may assist with providing company information in order to expedite supplier evaluation.

6.1.10 **If** determine the on-site assessment is necessary, **then** perform an on-site assessment of the supplier's Quality program according to Section **6.4**.

6.2 Identification of Supplier Pre-Approval Submittals

Lead Assessor

NOTE:

Suppliers of NQA-1 related items and services and noncommercial grade suppliers of items and services that support project activities are evaluated and approved prior to subcontract or purchase order award. Quality is responsible for determining if a supplier is capable of meeting applicable requirements described in ASME NQA-1-2008, *Quality Assurance Requirements for Nuclear Facility Applications* (with Addenda through 2009), and/or CP2-QA-1000, *Quality Assurance Program Description for the Paducah Gaseous Diffusion Plant, Paducah, Kentucky*.

Suppliers of items or services that are commercial grade items or services for use in safety or environmental protection systems are also evaluated and approved prior to subcontract or purchase order award. Dedication methods for commercial grade items are evaluated only as described in CP3-QA-2502, *Commercial Grade Dedications.* CP3-QA-2002*, Surveillance,* is used for the dedication for services only using the following as evidence: (a) technical verification of data submitted, (b) surveillance and/or audit activity, or (c) review of objective evidence for conformance to contract document requirements according to CP3-OI-3004, *Control of Contractors.*

If the dedication method of survey or source verification is for commercial grade items, **then** inclusion of the supplier on the ASL is optional. An element of this review is to determine if an on-site assessment of the supplier's facilities and application of their Quality program may be required.

6.2.1 Based on a review of the supplier information requested (Step **6.1.6**), determine any additional information required from a prospective supplier. This information may include the following as appropriate for the item or scope of services:

- Quality manual
- Quality procedures
- Certification, registration, accreditation or stamp documentation
- Permits, approvals, or authorizations
- Samples of Certificates of Compliance, Load Test Results, etc.
- Manufacturing, inspection, welding, test, etc. procedures
- Training records
- Audit/assessment reports – internal or external sources (this includes DOECAP audit reports or DOECAP-AP results)
- Drawings
- Completed CP3-QA-2001-F03
- EFCOG Assessment/Documentation

6.2.2 Provide to Procurement representative and/or supplier point of contact a written list of the information/documents required.

6.3 Review of Supplier Submittal Information

Lead Assessor

6.3.1 Upon receipt of the requested supplier information and documents, assemble into a review package and perform the review to determine capability based on item specifications or scope of services. Include Engineering, Procurement, and SMEs in the review process, as necessary.

NOTE:
When a DOECAP audit and Corrective Action Plan or DOECAP-AP results have been reviewed by a Lead Assessor, deemed appropriate for the services being procured, and documented on CP3-QA-2001-F01, an additional on-site Quality assessment is **NOT** required.

6.3.2 Review historical or performance information, which may include, but is **NOT** limited to the following:

- Possession of the appropriate Certificate of Authorization or Quality System Certificate issued by the Nuclear Regulatory Commission; ASME code stamps for suppliers whose items or services are covered by ASME Boiler and Pressure Vessel Code requirements; compliance audits performed by state or federal regulatory representatives
- Current evaluation results for laboratories participating in periodic performance qualification audits by a national program such as DOECAP-AP or industry equivalent such as American Association for Laboratory Accreditation, current International Standards Organization (ISO) 9000, 13485,14000 or 17025-series registration or equivalent
- Independent certification or accreditation documentation which conforms to procurement contract, statement of work, or specification document requirements

- A recent (within last 3 years) supplier assessment or audit by another DOE facility or prime contractor for similar item or service
- A DOECAP audit and Corrective Action Plan (annually for rad facilities and every four years for non-rad facilities)

NOTE:

Per CP2-QA-1000, *Quality Assurance Program Description*, the selected lead auditor/assessor organizes and directs the assessment. The Lead Assessor is allowed to modify the checklist with the concurrence of the QA Manager before and during the performance of an assessment.

6.3.3 Obtain a supplier assessment number from Quality, **and** use CP3-QA-2001-F02, *Supplier QA Program Assessment Checklist* or CP3-QA-2001-F06, *ASME/NQA-1 Supplier Quality System Program Survey/Audit/Assessment Checklist*, with CP3-QA-2001-F01 to document the Supplier documentation review.

6.3.4 Ensure suppliers that do **NOT** have a quality program and/or has one that does **NOT** meet the requirements of DOE Order 414.1D, *Quality Assurance*, 10 CFR 830.120 Subpart A, *Quality Assurance,* or American Society of Mechanical Engineers (ASME) NQA-1-2008, Quality Assurance Requirements for Nuclear Facility Applications (with Addenda through 2009) are evaluated to determine if their quality program and facility are capable of providing items and/or services for FRNP.

Lead Assessor/SME

6.3.5 Determine if the supplier is acceptable based on a document review, evaluation of assessment materials from another source, accreditation equivalency, or if an on-site assessment is required.

NOTE:

Examples for the use of CP3-QA-2001-F01, Supplier QA Assessment Results, are:

- To document the review of a prospective supplier's QA manual, procedures, compliance history, and requested implementation documentation for compliance with stated requirements.
- To document the review of DOECAP audits and Corrective Action Plans to determine if waste TSDFs or DOECAP-AP results to determine Analytical Laboratories are acceptable for the services being procured.
- The review of prospective supplier's certification or qualification (as noted in Steps **6.3.1** through **6.3.2** to confirm the assessment performed to qualify the supplier covered the services scheduled to be procured from the supplier, along with any findings, conclusions, and basis for qualification.
- An evaluation of a third-party audit or assessment (as noted in Step **6.3.2**) to identify the activities, findings, conclusions, and basis for qualification.
- To document results of an on-site supplier audit or commercial grade survey (per Section **6.4**).

6.3.6 **If** an on-site assessment is required, **then** go to Step **6.4.1**. Document **and** process the evaluation.

6.3.7 **If** the supplier is rejected, **then** contact the requestor, Procurement, and the supplier to determine any further actions.

6.3.8 **If** issues/deficiencies are identified with the supplier's Quality Program or process controls, **then** communicate observed deficiency or noncompliance to the Requestor and supplier management.

6.3.9 Direct the following as appropriate, depending on significance of the issues or deficiencies identified in Step **6.4.3**.

> NOTE:
>
> An on-site assessment of the supplier may be performed before a final determination is made for addition to the ASL.

6.3.10 Verify noncompliance issues corrected and corrective action evidence provided by the supplier for review and acceptance prior to addition to the ASL.

6.3.11 Prior to addition to the ASL, submit corrective action plan to Quality for review and final approval.

6.3.12 **If** the supplier submittal information and/or historical information review is deemed adequate for supplier addition to the ASL, **then** establish the next evaluation date **and** sign off on CP3-QA-2001-F01.

6.3.13 Add to or revise the ASL to include the supplier evaluated and acceptable items or services to be procured as indicated on CP3-QA-2001-F01, *Supplier QA Assessment Results*. Note on the ASL any restrictions or limitations placed on the supplier.

> NOTE:
>
> Procurement is required to inform the supplier of the assessment results.

6.3.14 Notify Procurement and Requestor of supplier assessment results, supplier ASL status, and any limitations imposed.

6.4 On-Site Supplier Assessment

<u>Lead Assessor/SME</u>

6.4.1 **When** an on-site assessment is required, **then** follow the planning, performing, and reporting guidelines contained in this procedure.

> NOTE:
>
> The Lead Assessor is allowed to modify the checklist with the concurrence of the QA Manager before and during the performance of an assessment.

6.4.2 Modify as necessary, the assessment checklist (See CP3-QA-2001-F02 or CP3-QA-2001-F06.) to ensure all pertinent quality requirements are verified. Perform the assessment.

6.4.3 **If** supplier Quality program issues and/or deficiencies are identified during the on-site assessment, **then** communicate observed deficiencies or noncompliances to supplier management for resolution during the closeout at the supplier's facility. Ensure supplier management understands that:

- Identified issues are required to be corrected.
- Corrective action evidence is provided by the supplier to Lead Assessor for review and acceptance.

6.4.4 Issue an interim correspondence to supplier management summarizing the assessment results and any issues that were **NOT** corrected during the assessment.

6.4.5 Review **and** approve any supplier corrective actions needing to be completed prior to listing on the ASL.

6.4.6 Once all issues are satisfactorily corrected, issue a closure letter stating that all findings are closed and the supplier has been placed on the ASL (without limitations or with limitations defined).

6.4.7 Add supplier to ASL upon supplier approval.

6.4.8 Notify Procurement and Requestor organization of the supplier addition to the ASL and any limitations or restrictions imposed.

6.4.9 Note in the ASL any restrictions or limitations placed on the supplier based on the supplier assessment results.

6.4.10 For on-site supplier assessments **ONLY, s**ubmit supplier assessment documentation to the Department of Energy Facility Contractor's Group (EFCOG) Master Approved Supplier's List (MASL) at https://thesource.energy.gov

6.5 Maintenance of Approved Supplier List

Quality Specialist

6.5.1 Maintain the ASL located at S:\Everyone\Quality\ASL.

6.5.2 Maintain supplier information files, for example, contact information, approved services or items, evaluation dates, required review dates, reports, etc.

6.6 Periodic Evaluation of Approved Suppliers

NOTE:

Approved suppliers are evaluated for continued listing on the ASL based on supplier performance history or other factors deemed important to item or service safety or quality. This evaluation shall occur at least once every 3 years (4 years for non-rad TSDFs); unless it is determined a shorter periodicity is needed. Periodic on-site reviews/assessments may be scheduled by Quality with input from appropriate SMEs, Engineering and/or Procurement.

Lead Assessors (with the support from QA Assessors and/or Subject Matter Experts) shall perform this review. The Lead assessor is responsible for the evaluation, review, and approval of this effort.

Quality Assurance

6.6.1 At least 30 business days before the supplier's anniversary expiration date, query SMEs, Engineering, Procurement, and the Requestor Organizations to determine if it is necessary for the supplier to remain on the ASL.

SMEs/Procurement/Engineer/Requestor Organizations

6.6.2 Provide feedback to Quality on retention of supplier services, supplier nonconforming issues related to purchases, such as item conformance, S/CI, service quality, or safety.

Quality Assurance

6.6.3 **If** the supplier is **NO** longer actively used, **then** suspend the supplier from the ASL at the end of the performance period.

6.6.4 Update the ASL to suspend the supplier from active status.

6.6.5 Remove the vendor history from the active files **and** place in the inactive files. The inactive files are located at: S:\QAQC:\ASL Assessments and Documents.

NOTE:
CP3-QA-2001-F05, *Supplier Service Performance*, is a tool to gather input on both positive and negative supplier performance

Quality Assurance

6.6.6 **If** the procurement from the supplier is to continue, **then** send CP3-QA-2001-F05 to the Requestor Organizations and Procurement, **and** request completion prior to the anniversary expiration date.

6.6.7 Review input from the organization to implement a final re-evaluation or approval.

6.6.8 Verify input against the previous assessments/evaluations to determine changes that may affect supplier ASL status.

Lead Assessor

6.6.9 **If** the supplier evaluation **CANNOT** be completed by the anniversary date, **then** document in the ASL the reason for the delay and the date by which the evaluation will be completed.

6.6.10 **If** supplier information and/or performance history is deemed to be satisfactory (such as, **NO** major program changes, **NO** significant audit findings, satisfactory resolution of nonconformances, etc.), **then** complete CP3-QA-2001-F01.

6.6.11 **If** supplier program has undergone significant changes **or** deficient conditions have been identified, **then** perform necessary steps in Sections **6.2, 6.3, 6.4** and **6.5** to reapprove the supplier's program **and** document on CP3-QA-2001-F01.

6.6.12 Update the ASL with renewal information or with the reason for delay and date by which the evaluation will be completed.

6.6.13 Update the shared file location and the Quality Assurance maintained files with the revised ASL. Place the superseded ASL in the superseded file.

6.7 Commercial Grade Dedication Process

NOTE:

An acceptance process performed according to ASME NQA-1-2008/2009a, Subpart 2.14, to provide reasonable assurance that a commercial grade item will perform its intended safety function and, in this respect, is deemed equivalent to an item designed and manufactured or provided under the requirements of ASME NQA-1-2008/2009a, Subpart 2.14. This assurance is achieved by identifying the appropriate critical characteristics (Critical Characteristics for Acceptance) of the item and verifying their acceptability by inspections, tests, or analyses performed by the purchaser or third-party dedicating entity after delivery, supplemented as necessary by one or more of the following: commercial grade surveys, production inspections or witness at hold-points at the manufacturer's facility, and analysis of historical records for acceptable performance. In all cases, the dedication process must be conducted according to the applicable provisions of NQA-1-2008/2009a. Refer to CP3-QA-2502 and CP3-EN-0307 for guidance in implementing the CGD and Commercial Grade Upgrade Process. Guidance document CP5-QA-5000, *Dedication and Acceptance Guidance for Commercial Grade Items or Services,* provides additional information on interface for CGD.

Requestor

6.7.1 Discuss item or service to be procured with appropriate Engineering personnel, including identifying the Quality Level for the item.

6.7.2 **When** the item or service is QL-2 and procurement requirements are being discussed with Engineering, consider the CGD process as a possible procurement tool.

Engineering

6.7.3 Develop the Engineering package for inclusion in the Purchase Requisition that allows purchase of the item or service at the appropriate Quality Level.

Quality Assurance and Quality Control

6.7.4 Follow the supplier evaluation and/or commercial grade dedication and acceptance requirements in CP3-QA-2502 and CP3-EN-0307.

7.0 RECORDS

7.1 Records Generated

The following records may be generated by this procedure:

- CP3-QA-2001-F01, *Supplier QA Assessment Results*
- CP3-QA-2001-F02, *Supplier QA Program Assessment Checklist*
- CP3-QA-2001-F03, *Prospective New Supplier Questionnaire*
- CP3-QA-2001-F05, *Supplier Service Performance*
- CP3-QA-2001-F06, *ASME/NQA-1 Supplier Quality System Program Survey/Audit/Assessment Checklist*
- Assessment/evaluation-related written correspondence between FRNP and its suppliers.

Forms are to be completed in accordance with CP3-OP-0024, *Forms Control*.

7.2 Records Disposition

The records are to be maintained according to CP3-RD-0010, *Records Management Process.*

Appendix A – Acronyms/Definitions

ACRONYMS

ASL – Approved Supplier List

ASME – American Society of Mechanical Engineers

CFR – Code of Federal Regulations

CGD – Commercial Grade Dedication

CGI – Commercial Grade Item

CGE – Commercial Grade Evaluation

DOE – U.S. Department of Energy

DOECAP – Department of Energy Consolidated Audit Program

DOECAP-AP – Department of Energy Consolidated Audit Program-Accreditation Program

FAM – Functional Area Manager

FRNP – Four Rivers Nuclear Partnership (FRNP), LLC Paducah Gaseous Diffusion Plant (PGDP) Deactivation and Remediation (D&R)

ISO – International Standards Organization

M&TE – Measuring and test equipment

NNSS – Nevada National Security Site

QA – Quality Assurance

QAP – Quality Assurance Plan

SME – Subject Matter Expert

TSDF – Treatment, Storage, and Disposal Facility

U.S. – United States

WCO – Waste Certification Official

Appendix A – Acronyms/Definitions (Continued)

DEFINITIONS

Approved Supplier – A supplier who provides defined items or services and has been approved by FRNP to do so under the management systems and controls of the supplier's own quality assurance/control program. Approved supplier QA programs have been evaluated and determined to meet applicable DOE program requirements.

Approved Supplier List – A listing of suppliers having a quality program that complies with NQA-1 requirements, provide items and services that are unique or one of a kind, and are needed by FRNP. These suppliers' processes and performance, documentation and facilities are evaluated to determine if they meet specified criteria.

Audit/Assessment – A planned and documented activity performed to determine by investigation, examination, or evaluation of objective evidence, the adequacy of, and compliance with established procedures, instructions, drawings, and other applicable documents; the effectiveness of implementation; and the organizational performance.

Commercial Grade Item (CGI) – A structure, system, component, or part thereof that affects its safety function that was **NOT** designed and manufactured according to the requirements of ASME NQA-1-2008/2009a. [Reference Subpart 2.14]

An item satisfying the following:

- **NOT** subject to design or specification requirements that are unique to those facilities or activities
- used in applications other than those facilities or activities
- to be ordered from the manufacturer/supplier on the basis of specifications set forth in the manufacturer's published product description (for example, a catalog)

Commercial Grade Dedication (CGD) – An acceptance process performed according to ASME NQA-1-2008/2009a, Subpart 2.14, to provide reasonable assurance that a commercial grade item or service will perform its intended safety function and, in this respect, is deemed equivalent to an item or service designed and manufactured or provided under the requirements of ASME NQA-1-2008/2009a, Subpart 2.14. This assurance is achieved by identifying the appropriate critical characteristics (Critical Characteristics for Acceptance) of the item or service and verifying their acceptability by inspections, tests, or analyses performed by the purchaser or third-party dedicating entity after delivery, supplemented as necessary by one or more of the following: commercial grade surveys, production inspections or witness at hold-points at the manufacturer's facility, and analysis of historical records for acceptable performance. In all cases, the dedication process must be conducted according to the applicable provisions of NQA-1-2008/2009a, Subpart 2.14.

Commercial Grade Evaluation (CGE) – A written analysis performed by Engineering to determine the critical characteristics for acceptance and the method of acceptance for CGD.

Commercial Grade Survey – A commercial grade survey is a means by which a purchaser can take credit for the commercial quality controls that a supplier exercises on a given item or line of replacement items. These controls may constitute quality programs, procedures, or practices.

Commercially Acceptable Supplier – A supplier that can provide documented certification of conformance of items or services to recognized industry acceptance standards or testing methods.

Appendix A – Acronyms/Definitions (Continued)

Critical Item – Goods or services, including commercial grade items that require rigorous procurement and inspection processes to prevent significant personal injury to the workforce and public and/or and environmental noncompliance. Critical items include, but are **NOT** limited to: waste containers and absorbent or sorbent materials used in waste packaging.

EFCOG – Energy Facility Contractor's Group: A knowledge portal that provides a vehicle to allow members to keep abreast of the latest news, issues and events across the Department of Energy complex; for the sharing of innovative ideas and practices and to collaborate virtually on the development and implementation of new processes and practices. EFCOG provides the means for obtaining information potential supplier information through their supplier assessment system (such as, approved supplier's list).

Item – An all-inclusive term used in place of any of the following: appurtenance, assembly, component, equipment, material, module, part, structure, subassembly, subsystem, system, or unit.

Lead Assessor – An individual certified to organize and direct an independent audit, report assessment findings and observations, and evaluate corrective actions as described in CP3-QA-1004, *Independent Assessment.*

Measuring and Test Equipment – Devices or systems used to calibrate, measure, gage, troubleshoot, test, or inspect in order to control or acquire data to verify conformance to specified requirements.

Non-Commercial Grade Item – A term used to describe SSCs designated as QL-2 that would **NOT** fit the definition for "Commercial Grade."

Non-commercial Grade Supplier - A vendor that provides a structure, system, component, or part thereof that affects its safety function, that was designed and manufactured according to the requirements of ASME NQA-1-2008/2009a.

Nonconformance – A deficiency in characteristic, documentation, or procedure rendering the quality of an item or activity unacceptable or indeterminate.

Procurement Representative - A member of the Procurement organization designated with purchasing authority.

Quality – A condition achieved when an item, service, or process meets or exceeds the user's requirements and expectations.

Quality Management – A term identifying management positions within Quality (Quality Manager, Contractor Performance Assurance Program Manager)

Safety Significant Item – An item whose preventive or mitigative function is a major contributor to defense-in-depth and/or worker safety or is defined in a facility safety basis document.

Service – The performance of activities such as design, fabrication, inspection, nondestructive examination, repair, or installation.

Source Verification – This method of dedication involves performing verification of critical characteristics by witnessing quality activities at the supplier's facility before releasing the item for shipment.

SSC – Structures, systems, and components associated with the Quality Level of items and/or activities

Appendix A – Acronyms/Definitions (Continued)

Supplier – Any individual or organization who furnishes items or services according to purchase requisitions, purchase orders, drawings, contracts, specifications, or instructions used to define requirements for purchase. It is an all-inclusive term used in place of any of the following: vendor, seller, contractor, subcontractor, fabricator, consultant, and their sub-tier levels.

Document (or "Table-top") Review – A method of assessing a supplier's capabilities without going to their facility. The success of this method is dependent upon the supplier providing substantial documented information that adequately demonstrates their ability to control their product, specifically pertaining to the critical characteristics of items or scope of services to be procured. This form of review is not sufficient for a Method 2 Commercial Grade Survey.

Third-party Assessment – One performed on a potential supplier by an entity other than FRNP and used (with permission) to evaluate the capabilities of the supplier. The audit must cover all of the essential elements of the supplier's quality program and controls pertinent to the item or service being procured in order to be able to take credit for it and use it as the basis for placement of the supplier on the ASL.

Upgrade Item – An item of a lower quality classification that will be dedicated or evaluated for use in a higher quality classification (for example, a QL-3 item may be upgraded for use in a QL-2 application). Upgraded items must meet the same technical and quality requirements and pass the QC inspection requirements as the original item.

CP3-QA-2001-F01 - Supplier QA Assessment Results

☐ Initial Supplier Assessment	☐ Routine Supplier Evaluation	
Assessment ID:	**Date Assessment Performed:**	
Performed By:		
Part A: Supplier Information		
Supplier Name/Contact:		
Items/Services Evaluated:		
Address:	**City:**	**State:**
Phone Number:	**Fax:**	**Zip Code:**
Part B: Summary of Assessment Scope and Criteria *Note: Attach additional pages of the Supplier Assessment Results, if necessary*		
Assessment Scope:		
Assessment Criteria: ☐ Attached CP3-QA-2001-F02, "Supplier QA Program Assessment Checklist"		
Summary of Assessment Results:		
Attachments Included:		
Recommendations and Next Evaluation Date: ☐ ☐ ☐		
Approved	Not Approved	Remove From ASL
Restrictions/Limitations or Reason for Non-Approval or Removal:		
Signatures		
Lead Assessor:	**Date:**	

CP3-QA-2001-F02 -Supplier QA Program Assessment Checklist

Supplier Name:	
Assessment ID:	

Item	Evaluation Criteria	Results				Comments	Status	
		S/A	F	O	N/A		CL	OP
	Criterion 1--Management/Program							
1.	How has the supplier established an organizational structure, functional responsibilities, levels of authority, and interfaces for those managing, performing, and assessing the work?							
2.	How has the supplier established management processes, including planning, scheduling, and providing resources for the work being performed?							
	Criterion 2--Management/Personnel							
3.	How does the supplier require that personnel be trained, qualified, and capable of performing their assigned work?							
4.	How does the supplier require continuing training of personnel to maintain their job proficiency?							
	Criterion 3--Management/Quality							
5.	How has the supplier established and implemented processes to detect and prevent quality problems? (e.g., Are instrument check sheets or surveys reviewed for trends?)							
6.	How has the supplier established a process (e.g., NCRs) to identify, control, and correct items, services, and processes that do not meet established requirements?							
7.	How has the supplier established a process to identify the causes of problems and work to prevent recurrence as a part of correcting the problem?							
8.	How has the supplier established a process to review item characteristics, process implementation, and other quality-related information to identify items, services, and processes needing improvement?							

CP3-QA-2001-F02 -Supplier QA Program Assessment Checklist (Continued)

	Criterion 4--Management/Documents and							
9.	How has the supplier established a process to prepare, review, approve, issue, use, and revise documents to prescribe processes, specify requirements, or establish design? (e.g., Are surveys from the previous year accessible?)							
10.	How has the supplier established a process to specify, prepare, review, approve, and maintain records?							
	Criterion 5--Performance/Work							
11.	How does the supplier perform work consistent with technical standards, administrative controls, and other hazard controls adopted to meet regulatory or contract requirements, using approved instructions, procedures, or other appropriate means?							
12.	How does the supplier identify and control items to ensure their proper use? (e.g., Are instruments stored properly? packaged?)							
13.	How does the supplier maintain items to prevent their damage, loss, or deterioration?							
14.	How does the supplier calibrate and maintain equipment used for process monitoring or data collection? Are instrument source check sheets accurate?							
	Criterion 6--Performance/Design							
15.	How does the supplier design items and processes using sound engineering/scientific principles and appropriate standards?							
16.	How does the supplier incorporate applicable requirements and design bases in design work and design changes?							
17.	How does the supplier identify and control design interfaces?							
18.	How does the supplier verify or validate the adequacy of design products using individuals or groups other than those who performed the work?							

CP3-QA-2001-F02 -Supplier QA Program Assessment Checklist (Continued)

19.	How does the supplier verify or validate work before approval and implementation of the design?							
	Criterion 7-- Performance/Procurement							
20.	How does the supplier have a process to ensure that procured items and service meet established requirements and perform as specified in purchase orders (i.e., specification requirements)?							
21.	How does the supplier evaluate and select their prospective suppliers on the basis of specified criteria?							
22.	How has the supplier established and implemented a process to ensure that their approved suppliers continue to provide acceptable items and services?							
23.	How does the supplier address the requirements of NQA-Requirement 7, Control of Purchased Items and Services Sections 502, Methods of Acceptance and 503, Certificate of Conformance state?							
	Criterion 8-- Performance/Inspection and Acceptance Testing							
24.	How does the supplier inspect and test specified items, services, and processes using established acceptance and performance criteria?							
25	What process does the supplier have in place (and implemented) to ensure specified items are ready for shipment (i.e., preparation of items to be painted, and completion of painting including painted surfaces dried?							
26.	How does the supplier calibrate and maintain equipment used for inspections and tests? Are instrument calibration records accurate?							
	Criterion 9-- Assessment/Management							
27.	How does the supplier ensure managers assess their management processes and identify and correct problems that hinder the organization from achieving its objectives?							

CP3-QA-2001-F02 -Supplier QA Program Assessment Checklist

	Criterion 10--Assessment/Independent							
28.	How does the supplier plan and conduct independent assessments to measure item and service quality, to measure the adequacy of work performance, and to promote improvement? (e.g., Is a recent assessment available for review?)							
29.	How does the supplier establish sufficient authority, and freedom from line management, for the group performing independent assessments?							
30.	How does the supplier ensure persons who perform independent assessments are technically qualified and knowledgeable in the areas to be assessed?							
	Suspect/Counterfeit Item (S/CI) Prevention							
31.	How has the supplier complied with S/CI requirements as addressed in Attachment II of DOE Order 414.1D?							
	Software Quality Assurance (SQA)							
32.	How has the supplier implemented a SQA program by complying with Attachment II of DOE Order 414.1D? Using graded approach the supplier program is commensurate with their contracted scope of work.							

Legend:
Results: S/A = Satisfactory/Acceptable F = Finding O = Observation N/A = Not Applicable or Not Evaluated

Status: CL = Closed OP = Open

QA Assessor or QA Lead Assessor Signature: _____ Date: _____

CP3-QA-2001-F05 - Supplier Service Performance

Company Name: _____

Contact: _____

Quality Level: _____

Items/Services Provided: _____

List NCRs	Open	Closed
	☐	☐
	☐	☐
	☐	☐

The following section evaluates this supplier for the performance period from _____ to _____.

Gross Purchase Amount: ($) _____

Frequency of Purchases: (Circle one of the following)

Once/yr 2-3 times/year 4-6 times/year more than 6 times/year

Please rate 1 (worst) through 5 (best): (Circle a rating for each of the following)

	Worst				Best
Product Availability	1	2	3	4	5
Product Conformance	1	2	3	4	5
Billing/Invoicing Accuracy	1	2	3	4	5
Return Policy	1	2	3	4	5
Shipping/Delivery Service	1	2	3	4	5
Packaging	1	2	3	4	5

Supplier Service Performance Evaluation Submitted by:

Name/Signature: _____

Department: _____

Date: _____