

WP 13-QA3012

Revision 17

Supplier Evaluation/Qualification

Management Control Procedure

EFFECTIVE DATE: 09/30/08

Martin Keathley

APPROVED FOR USE

TABLE OF CONTENTS

INTRODUCTION 3

REFERENCES 4

PERFORMANCE 5

1.0 QSL ESTABLISHMENT AND MAINTENANCE 5

2.0 SUPPLIER AUDIT, EVALUATION, AND SCOPE EXPANSION 8

3.0 ANNUAL EVALUATION 12

4.0 SUPPLIER QUALIFICATION EXTENSION 13

5.0 SUPPLIER INFORMATION CHANGES 14

Attachment 1 - Definitions 15

Attachment 2 - QSL Request/Evaluation Update Sheet (QSLR) Instructions 16

Attachment 3 - Desktop Evaluation Form Instructions 17

Attachment 4 - Supplier Quality Questionnaire (Example) 18

Attachment 5 - Qualified Supplier Annual Evaluation (Example) 20

INTRODUCTION ^{1, 2, 3, 4}

This procedure establishes the requirements used to identify, evaluate, approve, and maintain suppliers on the Washington TRU Solutions LLC (WTS) Qualified Suppliers List (QSL).

Upon determination of the need for a QSL supplier, the supplier shall be evaluated by WTS Quality Assurance (QA) based on the following:

- Verification of need for specific items and/or services of supplier
- Evaluation of the supplier's history, capabilities, QA program documentation, and past performance with providing an identical or similar product that performs satisfactorily in actual use
- Ability of supplier to meet the predefined/selected quality requirements described in documents such as the Statement of Work (SOW), Graded Approach determination, drawings, specifications, or imposed by the contract or Purchase Requisition (PR)
- Inclusion of the supplier on the Nuclear Industry Assessment Committee (NIAC) list of evaluated suppliers
- End use of the product and/or service

QA requirements are identified and described in preplanning activities (e.g., SOW, Graded Approach documentation, drawings, specifications, and PRs/Purchase Orders [POs]), and, as required, shall be approved by QA prior to authorizing work activities.

Four to six weeks should be allowed for completion of the QSL evaluation or audit process.

Performance of this procedure generates the following records:

- QSL Request/Evaluation Update Sheet (QSLR) (EA13QA3012-1-0)
- Supplier Quality Questionnaire
- Desktop Evaluation Form (EA13QA3012-6-0) and support documentation (i.e., QA program documentation, history of providing similar items/services, etc.)
- NIAC Assessment Report Evaluation Form (EA13QA3012-7-0)
- Qualified supplier annual evaluation
- Technical justification and associated support documentation (i.e., Operations and Maintenance [O&M] manuals, cut sheets, etc.)

- Registrations and/or certifications from recognized national and international standards organizations
- Third-party audit documentation (including NIAC audit reports)
- Correspondence and associated documentation

All records generated by the implementation of this procedure will be handled, stored, and dispositioned in accordance with the department/section's Records Inventory and Disposition Schedule.

REFERENCES

BASELINE DOCUMENTS

- WP 13-1, Washington TRU Solutions LLC Quality Assurance Program Description

REFERENCED DOCUMENTS

- ASME (American Society of Mechanical Engineers) NQA-1-1989, *Quality Assurance Program Requirements for Nuclear Facilities*
- WP 09-CN3005, Graded Approach to Application of QA Controls
- WP 13-QA.03, Quality Assurance Independent Assessment Program
- WP 13-QA.04, Quality Assurance Department Administrative Program
- WP 15-PC3609, Preparation of Purchase Requisitions
- CCP-QP-001, CCP Graded Approach
- EA04IM1000-1-0, WIPP Form
- EA13QA3012-1-0, QSL Request/Evaluation Update Sheet
- EA13QA3012-6-0, Desktop Evaluation Form
- EA13QA3012-7-0, NIAC Assessment Report Evaluation Form

PERFORMANCE

1.0 QSL ESTABLISHMENT AND MAINTENANCE

1.1 QA Management, perform the following:

- Identify a QSL Coordinator and Alternate QSL Coordinator.
- Assign qualified Lead Auditors to perform QSL supplier qualifications and annual evaluations, as appropriate.

NOTE

In the absence of the QSL Coordinator, the Alternate QSL Coordinator is given the appropriate computer permissions to modify the QSL database.

The QSL may be viewed through a link on the Requisitioner's Toolbox.

1.2 QSL Coordinator, maintain the QSL database. As changes are made to the status of a QSL supplier, the electronic database shall be updated as follows to ensure that Procurement Services, requesters, and QA personnel are working with up-to-date information:

- Name and status (e.g., active or inactive) of the supplier
- QSLR number
- Supplier's street address, city, state, and zip code
- Supplier's contact or QA representative, phone number, fax number, and email address when available
- Product/service the supplier is qualified to provide
- Basis for supplier's QA program
- Supplier's QA program title, revision, and date
- Basis for qualification (when available): supplier audit, supplier desktop evaluation
- Date of initial qualification (when available), date and type of last audit or evaluation, Cognizant Lead Auditor, and expiration date
- Procurement restrictions/limitations imposed and pertinent comments⁷

NOTE

The QSL Coordinator or Alternate QSL Coordinator is responsible for the maintenance of QSL supplier files. QSL supplier files may contain the following information:

- QSLR (EA13QA3012-1-0)
 - Associated PR/PO, SOW, Graded Approach determination documentation
 - Technical justification formal correspondence and associated documentation
 - Supplier quality questionnaire, where applicable
 - Supplier desktop evaluation formal correspondence and associated documentation
 - Qualified supplier annual evaluation
 - Supplier's QA program documentation
 - Crosswalk of supplier's QA program with NQA-1-1989, if applicable
 - Desktop Evaluation Form (EA13QA3012-6-0)
 - NIAC Assessment Report Evaluation Form (EA13QA3012-7-0)
 - Hard copy of the QSL database information
 - Supplier certifications
 - Supplier's audit documentation when completed by a company other than WTS (including NIAC audit reports)
 - Correspondence documentation between the supplier and WTS
-

1.3 QSL Coordinator, maintain the QSL supplier files and associated documentation. As changes are made to the status of a QSL supplier, the QSL supplier files and database shall be updated, as follows, to ensure that Procurement Services, requesters, and QA personnel are working with up-to-date information:

- Store each QSL active supplier's documentation in a binder(s), filed by facility name, and organized in a manner so documentation can be easily retrieved and reviewed. Inactive suppliers' documentation may be otherwise appropriately maintained.

NOTE

NIAC audit reports are considered proprietary, and may not be shared beyond use in qualifying the supplier without prior approval from NIAC and the supplier, and notification to NIAC.

- Retain any NIAC audit information acquired on a supplier with that supplier's QSL documentation.
- Store active QSL supplier binders in the fireproof file cabinets.
- Print a hard copy of the supplier information to be included in the supplier's QSL file each time a change is made to a supplier's information in the QSL database.
- Contact potential suppliers and retrieve supplier documentation, such as QA program documentation, certifications and registrations, and internal audit documentation.
- Process supplier audit/evaluation documentation.
- Assign QSLR numbers to forms, as appropriate.
- Ensure that QSLR, Desktop Evaluation Form, supplier quality questionnaire, and annual evaluation information is entered into the QSL database, as appropriate.
- Initiate the supplier's annual evaluation by monthly review of the QSL database for expiring qualifications.
- Process rejected/cancelled QSLRs.

1.4 QA Lead Auditor, perform the following:

- Perform supplier audits, desktop evaluations, surveys, and annual evaluations, as appropriate.
- Determine the methods to be employed in the supplier qualification/evaluation process in accordance with this procedure, and perform any needed audit in accordance with WP 13-QA.03.
- Maintain Lead Auditor qualification per WP 13-QA.04.
- Perform evaluations of NIAC audit reports for applicability and to determine whether the supplier meets Waste Isolation Pilot Plant (WIPP) requirements.

1.5 NIAC Coordinator, perform the following:

- Maintain membership in NIAC.
- Maintain current NIAC supplier information.
- Request [supplier] audit reports as necessary.

2.0 SUPPLIER AUDIT, EVALUATION, AND SCOPE EXPANSION

NOTE

Prior to a supplier being included on the WTS QSL and being placed in the QSL database or an inactive supplier being reactivated, an audit or evaluation shall be performed and documented.

Initial qualification of a supplier shall be accomplished by performance of a NIAC report evaluation or desktop evaluation, and supplier audit, if applicable, as described in this Section.

WTS suppliers shall be qualified by facility location. Qualifications may vary if a supplier has multiple facilities, except as noted in the QSL documentation. The facility must be qualified to perform the required scope of work before using that facility.

The QSL may be viewed through a link on the Requisitioner's Toolbox. (Go to WIPNet home page, Business Management, Procurement, Qualified Suppliers List under Requirement Tools; or direct at <http://bellview/QSL/QSLlookup.asp>).

The QSL Coordinator may be contacted for additional information, including information on inactive suppliers.

2.1 Requester, identify a prospective supplier per the following, as appropriate:

- 2.1.1 If the supplier is currently on the WTS QSL and qualified to perform the required scope of work, **GO TO** WP 15-PC3609.
- 2.1.2 If the supplier is currently on the WTS QSL but is not qualified to perform the required scope of work, initiate a QSLR (EA13QA3012-1-0) per Step 2.2 to request a scope expansion.
- 2.1.3 If the QSL Coordinator indicates that there is an inactive supplier that is qualified to perform the required scope of work, initiate a QSLR per Step 2.2, indicating that a supplier evaluation needs to be performed.
- 2.1.4 If the supplier or alternate supplier is **NOT** on the WTS QSL, initiate a QSLR per Step 2.2.

- 2.2 Requester, initiate a QSLR (EA13QA3012-1-0).
 - 2.2.1 Complete blocks 1 - 2 of the QSLR, using Attachment 2, QSL Request/Evaluation Update Sheet (QSLR) Instructions. Include budget numbers and Cognizant Manager approval on the QSLR prior to submittal to the QSL Coordinator.
 - 2.2.2 Attach supporting documentation to the QSLR, as applicable (e.g., SOW, specification).
 - 2.2.3 Submit the QSLR and documentation package to the QSL Coordinator.
 - 2.2.4 If an in-process QSLR needs to be modified, resubmit the QSLR.
- 2.3 QSL Coordinator, perform the following:
 - 2.3.1 Upon receipt of the QSLR, review for completeness.
 - 2.3.2 If the QSLR is cancelled, provide a copy of the cancelled QSLR to the Requester.
 - 2.3.3 Assign a QSLR number.
 - 2.3.4 Forward a supplier quality questionnaire to the prospective supplier for completion. Information requested should follow the line of questioning, as appropriate, in Attachment 4.
 - 2.3.5 If a supplier does not complete the questionnaire, request an information package, which may include supplier history documentation, certifications, QA program documentation, audit documentation, etc.
 - 2.3.6 Contact the WIPP NIAC Coordinator to determine inclusion of the supplier in the NIAC evaluated suppliers database. If the supplier is included in the NIAC database, the NIAC Coordinator will request a copy of the supplier's qualifying audit report for use in this evaluation.
 - 2.3.7 Update the Supplier Evaluation/QSL.
 - 2.3.8 Inform the prospective supplier that the results of the WTS supplier audit/supplier desktop evaluation may be shared with other U.S. Department of Energy (DOE) facilities/contractors.
 - 2.3.9 Review with QA management for assignment of a Lead Auditor.

- 2.3.10 Upon receipt of the supplier quality questionnaire or information package from the prospective supplier, forward the following information to the Lead Auditor:
- QSLR
 - Completed supplier quality questionnaire or information package
 - Technical justification and other associated documentation
- 2.4 If the supplier has a NIAC assessment report, perform the following:
- 2.4.1 Lead Auditor, evaluate the report and document on the NIAC Assessment Report Evaluation Form (EA13QA3012-7-0).
- 2.4.2 QA Management, review the NIAC Assessment Report Evaluation Form with the Lead Auditor and approve or disapprove.
- 2.5 If the supplier does not have an acceptable NIAC assessment report, perform the following:
- 2.5.1 Lead Auditor, complete a Desktop Evaluation Form (EA13QA3012-6-0) based on information received from the supplier and request a Desktop Evaluation Number.
- 2.5.2 Lead Auditor, if appropriate, contact other DOE facility for information about the supplier.
- 2.5.3 QA Management, review the Desktop Evaluation Form with the Lead Auditor and approve or disapprove.

NOTE

At the discretion of QA management, regardless of the score achieved, it may be determined that an audit is appropriate.

- 2.5.4 [Lead Auditor, if the score is 69 or less, perform a supplier audit per WP 13-QA.03.](#)⁶
- 2.5.5 Requisitioner, if a prospective supplier will not support a supplier audit, perform the following:
- [A] If the Cognizant Engineer/Requester and QA Management determine the need for the supplier still exists, identify required quality controls in procurement documentation; OR
- [B] Identify an alternate supplier, per Subsection 2.1.

- 2.6 Lead Auditor, perform the following:⁷
- 2.6.1 Document the results of the NIAC report evaluation or desktop evaluation and supplier audit, if applicable, on the QSLR.
 - 2.6.2 Document evaluation type on the QSLR.
 - 2.6.3 Prepare a crosswalk between the supplier's QA program and NQA-1-1989 (not required if the supplier's QA program is based on NQA-1-1989).
 - 2.6.4 Submit the evaluation package, which may include the following, to the QSL Coordinator.
 - QSLR (EA13QA3012-1-0)
 - Supplier quality questionnaire
 - NIAC Assessment Report Evaluation Form (EA13QA3012-7-0)
 - Desktop Evaluation Form (EA13QA3012-6-0)
 - QA program/NQA-1-1989 crosswalk
 - Supporting documentation ^{4,5}
- 2.7 QSL Coordinator, notify Requester of the evaluation results.
- 2.8 Lead Auditor or QSL Coordinator, forward the QSLR, NIAC report evaluation or desktop evaluation, supplier audit, if applicable, and associated documentation to QA Management and obtain QA Management approval signature on the QSLR.
- 2.9 QSL Coordinator, upon receipt of the QSLR, NIAC report evaluation or desktop evaluation, supplier audit, if applicable, and associated documentation, process the paperwork and update the QSL database.

NOTE

Some QSL suppliers do not sell their products directly to WIPP, but through a distributor. In this case, a comment must be included in the supplier's QSL entry, stating that the distributor is authorized by the QSL supplier to provide the supplier's products to WIPP. This is applicable only if the distributor does not actually receive/store/ship the item/material. If the distributor stocks the item prior to shipping, an evaluation must be completed for potential inclusion on the QSL.

- 2.10 QSL Coordinator, if the supplier provides products only through a distributor, include a comment in the Comments box of the supplier's QSL entry, stating that the distributor is authorized by the QSL supplier to provide the supplier's products to WIPP.

3.0 ANNUAL EVALUATION

NOTE

Supplier qualifications shall be valid for one year, at which time an annual evaluation, which may include an audit, shall be performed to determine the need for retention of a supplier on the QSL. If an evaluation of a supplier takes place prior to the regularly scheduled annual evaluation, qualification shall be valid for one year from the date the evaluation takes place. For those suppliers whose qualification is based on a permit that may expire in less than a year, the evaluation date will be adjusted accordingly. Permit continuances issued by the regulator should be considered on a case-by-case basis.

- 3.1 QSL Coordinator, perform the following:
- 3.1.1 Review the QSL database each month for suppliers whose annual evaluations are due for the following month.
 - 3.1.2 Prepare an evaluation package for suppliers who are due for annual evaluations.
 - 3.1.3 Assign a Lead Auditor (with concurrence from Assurance Programs management).
 - 3.1.4 Send email information requests to the cognizant requester(s), requesting feedback on the supplier.
-

NOTE

The assigned Lead Auditor may also initiate contact with the supplier at any time during the process.

- 3.1.5 Contact the supplier to verify appropriate contact and email address.

- 3.2 Lead Auditor or SQL Coordinator, contact or email the annual evaluation information request to the supplier. Information requested should follow the line of questioning, as appropriate, in Attachment 5.
 - 3.2.1 Forward the supplier's QSL file, QSLR, QSL database information sheet, and information package to the assigned Lead Auditor.
 - 3.3 Lead Auditor, identify Central Characterization Project (CCP) Corrective Action Requests (CARs), Nonconformance Reports (NCRs), and WIPP Forms (EA04IM1000-1-0) applicable to the supplier. Document the results on the evaluation form (Attachment 5).
 - 3.4 Lead Auditor, complete the evaluation and attach documentation of annual evaluation line of questioning.
 - 3.5 Lead Auditor, complete applicable blocks of the QSLR.
 - 3.6 Lead Auditor or QSL Coordinator, submit the evaluation package to QA Management.
 - 3.7 QA Management, review the QSLR, resolve any issues with the lead auditor, and approve.
 - 3.8 QSL Coordinator, upon receipt of the approved documentation, update the QSL database.
- 4.0 SUPPLIER QUALIFICATION EXTENSION

NOTE

The supplier's qualification may be extended for three months, provided there are no significant adverse quality problems with the supplier's items or services. Additional three-month extensions may be granted, if adequate history and performance are available. Extensions are granted at the discretion of QA Management and shall be retained in the supplier's QSL file.

- 4.1 Lead Auditor, if a supplier's annual evaluation cannot be completed prior to the published expiration date, request a three-month extension of qualification, by completing a QSLR (EA13QA3012-1-0).
- 4.2 Lead Auditor, submit the request to QA Management for review and approval.
- 4.3 QA Management, after review and approval/disapproval, forward the request to the QSL Coordinator for processing.
- 4.4 QSL Coordinator, process upon receipt (including updating due date for evaluation).

5.0 SUPPLIER INFORMATION CHANGES

NOTE

Minor changes to a supplier's information, such as contact name, phone numbers, etc., do not require formal evaluation.

- 5.1 Lead Auditor, if notified of a revision to a supplier's QA program or changes to a supplier's location, name, organization, etc., perform the following:
 - 5.1.1 Review supplier's QSL file and changes.
 - 5.1.2 If changes require evaluation, forward the information to the QSL Coordinator.
- 5.2 QSL Coordinator, **IF** notified of a revision to a supplier's QA program or changes to a supplier's location, name, organization, etc., review supplier's QSL file, and **GO TO** Step 3.1.3 and process this change like an annual evaluation.

Attachment 1 - Definitions

Evaluation	The process of determining a supplier's capability to provide particular quality-related items and/or services to WTS in compliance with the technical, QA, and other requirements governing the conditions of the procurement activity. Evaluation also refers to the process of assessing a supplier's past performance history for the express purpose of retaining a particular supplier on the QSL, if the evaluation results are favorable, or placing restrictions upon or removing the supplier from the QSL, if evaluation results are unfavorable.
Nuclear Industry Assessment Committee (NIAC)	NIAC was organized in 1994 as a result of an industry initiative to share audits among members. The NIAC performs supplier qualification activities at the highest industry performance standards while eliminating the redundancy and costs associated with duplicate audits.
Qualification	Documented conclusions resulting from the evaluation or audit process. This process reflects the level or extent of the supplier's capabilities to continuously provide items and/or services that are consistent with WTS quality requirements. The basis for qualification and any limitations/restrictions that may affect procurement activities shall be identified in the QSL.
Qualified Suppliers List	A listing of suppliers who have been evaluated and deemed qualified to provide specific items or services that meet specified technical and quality requirements.
Supplier Audit	An objective assessment of an existing or potential supplier's QA program and the effectiveness of implementation performed at the supplier's facility. This audit verifies whether or not the personnel, facilities, systems, processes, or items satisfy the requirements as set forth in the contractual agreements, requirements, procedures, and/or agreed upon standards. ⁶
Supplier Desktop Evaluation	An evaluation of an existing or potential supplier's QA program, third-party and internal audits, registrations/certifications of nationally or internationally recognized standards, history, capabilities, and past performance to provide identical, or approved similar, items and the current QA program documentation and supporting qualitative and quantitative documentation. ^{4, 5}

Attachment 2 - QSL Request/Evaluation Update Sheet (QSLR) Instructions (repl att 2&3)

Block 1, Supplier Information	<p>Requester is required to print his or her name, include his or her telephone extension number, and the date the QSL Request is initiated. The following supplier's information shall be provided completely:</p> <ul style="list-style-type: none"> • Name • Full street address, city, state, and zip code • Contact or QA Representative name and email address • Telephone number and fax number.
Block 2, Product or Service to be Provided	<p>Requester is required to indicate what product or service the supplier will be required to provide, the end use of this product or service, the QL of the product (use WP 09-CN3005 or CCP-QP-001, as applicable, to determine QL), whether procurement of Treatment, Storage, and Disposal Facility (TSDF) services is required, the date the requested product or services are required, and the budget number for the cost of a site visit, if required.</p> <p>In addition, a copy of the Purchase Requisition, Statement of Work, or Graded Approach determination to support this QSL Request must be attached to the QSL Request.</p> <p>The Cognizant Manager is required to review and approve QSL Requests prior to submission of the QSL Request to the QSL Coordinator. Review and approval indicates that the information provided on the QSL Request is accurate and complete, and that all necessary documentation is attached.</p>
Block 3, Type of Supplier Evaluation Performed	<p>The Lead Auditor documents the type of supplier evaluation to be performed. If the QSLR is cancelled, the Lead Auditor will select "Cancelled."</p>
Block 4, Supplier's QA Program Basis	<p>Record all of the applicable standards that are the basis for the Supplier's quality program. Enter the title of the supplier's QA program, the revision number, and the date the revision was issued. New or updated QA program documentation received by the supplier shall be reviewed by the Lead Auditor for impact on WTS activities. Attach QA program documentation to this form.</p>
Block 5, Procurement Restrictions	<p>List procurement restrictions applicable to the supplier.</p>
Block 6, Evaluation of Supplier Changes or Comments	<p>Evaluate supplier changes or enter comments, as applicable.</p>
Block 7, Quality Assurance Action	<p>Mark the appropriate box to indicate the action required to be taken by QA.</p>
Completion, Review, and Approval	<p>The Lead Auditor's printed name, signature, and date indicate that the audit or evaluation was completed and that all information on the form is accurate and complete prior to submission to QA Management for review and approval.</p> <p>QA Management's printed name, signature, and date indicate that QA management concurs with the Lead Auditor's audit or evaluation results as documented on the form and that all information is accurate and complete prior to submission to the QSL Coordinator for update to the QSL.</p> <p>The QSL Coordinator's printed name, signature, and date indicate that the form has been received from QA Management for processing.</p>

Attachment 3 - Desktop Evaluation Form Instructions

QSLR #	QSL Coordinator or Lead Auditor, identify the associated QSLR # in this block.
Desktop Eval. #	QSL Coordinator or Lead Auditor, identify the associated Desktop Evaluation # in this block.
Supplier Name	QSL Coordinator or Lead Auditor, identify the supplier's name in this block.
Supplier Address	QSL Coordinator or Lead Auditor, identify the supplier's full address in this block.
Supplier Contact	QSL Coordinator or Lead Auditor, identify the supplier's contact name in this block.
Supplier Phone	QSL Coordinator or Lead Auditor, identify the supplier's phone number in this block.
Supplier Fax	QSL Coordinator or Lead Auditor, identify the supplier's fax number in this block.
Supplier Email	QSL Coordinator or Lead Auditor, identify the supplier's email number in this block.
Item 1	Lead Auditor, obtain a copy of the supplier's QA program manual and/or other documentation and evaluate it for applicable QA program elements appropriate to the scope of work requested. Applicable QA programs may include Nuclear Quality Assurance (NQA)-1-1989; 10 CFR Part 50, Appendix B; 10 CFR Part 71, Subpart H; etc. A total award of 30 points is given to the supplier if this criteria is satisfied. A crosswalk between the supplier's QA program and NQA-1-1989 is required if the supplier's QA program is based on a quality program that is not NQA-1-1989.
Item 2	Lead Auditor, ascertain and obtain a copy of a supplier's registration or certification to a national or international standard appropriate to the scope of work. National/International standards may include American Society of Mechanical Engineers (ASME), International Organization for Standardization (ISO) 9001, ISO 9002, National Voluntary Laboratory Accreditation Program (NVLAP), American Industrial Hygiene Association (AIHA), etc. Award 15 points if this criteria is satisfied.
Item 3	Lead Auditor, determine if there is objective evidence of support to other DOE facilities for similar items/services as identified by the QSL Request, Statement of Work, or the scope of work as indicated in the QSL database. Award 15 points if this criteria is satisfied.
Item 4	Lead Auditor, determine whether a supplier has objective evidence of third-party audit results, including DOE complex audits. Award up to 10 points for each report, up to a maximum of two for a total of 20 points if this criteria is satisfied.
Item 5	Lead Auditor, determine whether a supplier has objective evidence of internal audit reports, indicating no Significant Conditions Adverse to Quality. Award 10 points for each report, up to a maximum of two for a total of 20 points if this criteria is satisfied.
Item 6	Lead Auditor, determine whether or not the item/activity is QL2. Award 10 points if the item/activity is QL2.
Item 7	Lead Auditor, submit to Assurance Programs Manager for consideration. If the Assurance Programs Manager agrees that extenuating circumstances exist, written justification for this consideration must be generated and attached to the Desktop Evaluation Form. Award 10 points if this criteria satisfied.
Total Score	Lead Auditor, identify the total score based on Items 1 through 7. If the score is 70 or higher a supplier desktop evaluation may be performed. If the score is below 70, a supplier audit is required.
Lead Auditor Signature Block	Lead Auditor, print name, sign, and date upon completion of the Desktop Evaluation Form.
QA Management Signature Block	QA Management, print name, sign, and date upon completion of the Desktop Evaluation Form.
QSL Coordinator Signature Block	QSL Coordinator, initial and date indicating that the supplier has been notified that results of this supplier desktop evaluation or supplier audit may be shared with other DOE facilities and contractors.

Attachment 4 - Supplier Quality Questionnaire (Example)

QUESTIONNAIRE		YES	NO	N/A
VI.	Control of Suppliers Does your company control the approval/selection of suppliers?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
VII.	Test and Inspection Controls 1. Is a system in place to ensure that the item/material is inspected in accordance with the requirements of the customer PO? 2. Is test and inspection equipment calibrated? If YES, what quality standard (i.e., ANSI, NCSL, Z540-4, ISO 17025, etc.) is used for calibration?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
VIII.	Material Control 1. Are materials controlled to provide traceability to original source and to material certifications? 2. Does your quality system provide for control of nonconforming items and corrective action?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
IX.	Special Processes 1. Are special processes and associated materials (i.e., nondestructive examination, welding, heat treating, curing, etc.) controlled? 2. Are personnel responsible for performing special processes or services trained and qualified/certified for each process?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
X.	Quality Assurance Records 1. Are records (i.e., production, sampling, receiving, certification of measuring and test equipment, material certifications, inspection, training, nonconformance reports, etc.) designated as quality records in accordance with an approved procedure? 2. Are records maintained for a specified period of time in accordance with an approved procedure? 3. Are records maintained in a manner to prevent deterioration or damage from moisture, fire, or mold/insect infestation?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>If it is agreed that WTS will schedule a visit to your facility (for audit, inspection, verification, etc.), what types of hazards might be encountered within your facility?</p> <p>What types of personal protective equipment are necessary?</p>				
<p style="text-align: center;">Company Representative Completing this Questionnaire: (Signature not required if completing form electronically and transmitting via e-mail)</p> <p>Printed Name: _____</p> <p>Signature: _____</p> <p>Title: _____</p> <p>Date: _____</p>				

Note: This information may be provided to other DOE facilities/contractors.

Attachment 5 - Qualified Supplier Annual Evaluation (Example)

Qualified Supplier Annual Evaluation

Supplier: _____ Contact: _____

NOTE: COMPLETE ONLY THE SECTIONS THAT ARE APPLICABLE TO THE CONTRACT (SERVICE/PRODUCT.)

ITEM	EVALUATION CRITERIA	YES	NO	N/A	COMMENTS
Section 1 – Quality Assurance Program					
1	Has there been a revision to your company's Quality Assurance Manual within the past 12 months? <i>If yes, please provide a copy of the revised manual.</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Current Revision _____
2	Has your company received or terminated certification to national or international standards within the past 12 months? (ISO, NVLAP, ASME, etc.)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3	Have there been any changes in your company's name, ownership, or facility location within the past 12 months?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4a	Are periodic internal and/or external audits of your quality program performed? When was the last audit performed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4b	Were any significant conditions adverse to quality identified? <i>If yes, please explain.</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Section 2 – Measurement & Test Equipment (M&TE) Activities					
1	If providing calibration services, with what program is your calibration program designed to comply (ISO 17025, ANSI Z540-1994, etc)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2	Has there been any change in your calibration program in the last 12 months?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Section 3 – Treatment, Storage, and Disposal Facilities (TSDF)					
1	Have there been any modifications to your RCRA facility permit within the past 12 months?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2a	Has there been a federal or state inspection of your TSDF facility within the past 12 months?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2b	If so, were there any significant conditions adverse to quality identified?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Attachment 5 - Qualified Supplier Annual Evaluation (Example)

Qualified Supplier Annual Evaluation

Supplier: _____ Contact: _____

NOTE: COMPLETE ONLY THE SECTIONS THAT ARE APPLICABLE TO THE CONTRACT (SERVICE/PRODUCT.)

ITEM	EVALUATION CRITERIA	YES	NO	N/A	COMMENTS
Section 4 – Analytical Laboratories Questionnaire					
1a	Does your analytical laboratory participate in intercomparison programs?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
1b	If so, have any of your intercomparison program results, within the past 12 months, been determined to be unsatisfactory? <i>If yes, please explain.</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Section 5 – Software Quality Assurance					
1	If developing or manipulating software, have there been any changes to your software program controls? <i>If yes, please explain.</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2	If using software in support of quality-affecting activities, have there been any changes to your software program controls? <i>If yes, please explain.</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Questionnaire completed by (Supplier Representative): _____ Date: _____

Attachment 5 - Qualified Supplier Annual Evaluation (Example)

Qualified Supplier Annual Evaluation

Supplier: _____ Contact: _____

Section 6 –WTS Evaluation Section					
This section to be completed by WTS Lead Auditor					
Item	Evaluation Criteria	Yes	No	N/A	Comments
1	Have there been any reported nonconformances, corrective action requests, or significant conditions adverse to quality for this supplier within the past 12 months?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2	Cognizant Requestor(s): Have you experienced any problems with this supplier within the past 12 months?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3	Cognizant Requestor(s): Do you anticipate using this supplier in the future (and/or) should this supplier be maintained on the Qualified Suppliers List (QSL)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4	Cognizant Buyer: If applicable, has this supplier provided all contractually required items within the past 12 months?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5	Cognizant Buyer: Have you experienced any problems with this supplier within the past 12 months?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6	WTS QA evaluation of any QA program revision since completion of the last annual evaluation of this supplier.	<input type="checkbox"/> N/A (no change to the QA program documentation) <input type="checkbox"/> No QA Manual (working under authorized permit)			

Based upon the objective evidence obtained from the supplier’s representative, and an evaluation thereof; it is recommended that the supplier identified above be: Retained Inactivated on the WTS Qualified Suppliers List.

Comments: (include justification for inactivation)

Evaluation Performed by: _____
 Lead Auditor (Print) Signature Date