

SUPPLIER EVALUATION AND QUALIFICATION	Identifier: MCP-591
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Companywide	Management Control Procedure	For Additional Info: http://EDMS	Effective Date: 06/27/12
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Manual 1: Administration

USE TYPE 3

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*The current revision can be verified on EDMS.

1. INTRODUCTION

1.1 Purpose

Suppliers (see def.) must be qualified and capable of providing *materials* (see def.) and *services* (see def.) in accordance with specified requirements. This procedure identifies the process for controlling supplier evaluation and qualification process records. This procedure also provides a process for issuing and tracking Supplier Corrective Action Requests (SCAR).

1.2 Scope and Applicability

This procedure establishes the companywide process for the evaluation and qualification of first-tier, and when appropriate, lower-tier suppliers.

This procedure applies to the procurement of all *quality significant* (see def.) materials and services, as defined herein.

This procedure applies to the procurement of all offsite transportation, laboratory analysis, recycling, treatment, storage, and/or disposal of material or waste as part of a Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA), Resource Conservation and Recovery Act (RCRA), or Toxic Substance Control Act (TSCA) clean-up, research activity, investigation, removal, remediation, or disposal activity, as defined herein.

The company participates in the U.S. Department of Energy Consolidated Audit Program (DOECAP). Therefore, this procedure incorporates DOECAP evaluations as defined in Appendix F of this procedure.

This procedure does not apply to materials or services obtained directly from the U.S. government through direct contracting to federal agencies, departments, and/or commissions; or to federal government entities, (e.g., the National Institute of Standards and Technologies or the General Services Administration), which are considered pre-approved for quality significant procurement actions.

This procedure does not apply to the Storage and Disposal Facilities located at the following DOE facilities: Waste Isolation Pilot Plant (WIPP), Nevada Test Site (NTS)-Area 5, Radioactive Waste Management Site (RWMS), and Hanford Low-Level Waste Burial Ground (LLWBG).

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Pre-approval does not extend to federal government contractors, subcontractors, agents, or suppliers providing quality significant materials or services, unless exclusive use thereof is mandated by the DOE.

2. RESPONSIBILITIES

Performer	Responsibilities
Manager, Quality Systems/Operations Support (QS/OS)	Manage the supplier qualification and re-qualification processes and procedures. Establish the company-level Qualified Supplier List (QSL); a QSL change control process; and a records management system for all records resulting from the supplier qualification process.
Procurement Quality Engineer	Maintain and control the company-level QSL; the QSL change control process; the records management system for all records resulting from the supplier qualification process; ensure the QSL reflects current, complete, and accurate supplier qualification information and status at all times.
Procurement Quality Engineer	Assign required evaluation method to each quality significant material and service acquisition. Qualify and re-qualify proposed suppliers as requested in accordance with the designated method and this procedure. Maintain the QSL current and control all associated supplier qualification information and records.
Technical/ESH&Q Disciplines	Provide evaluation planning input and subject matter expert support to the supplier qualification process, i.e., engineering, radcon, industrial hygiene, metrology, waste management, environmental protection, analytical laboratory, industrial safety, fire protection, quality assurance, etc.
Procurement Management (PM)/Procurement Agents (PA)	Ensure timely identification of, and requests for, required supplier qualification actions in support of current or planned acquisitions.

3. PREREQUISITES

None

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4. INSTRUCTIONS**4.1 Determination of Supplier Evaluation Method**

4.1.1 PA: Assign the evaluation method to each material and service acquisition, as required by Appendix A, Supplier Evaluation Method Requirements. Ensure that supplier Quality Assurance Programs (QAP; QL-1 and -2 items) are accepted before the supplier starts work.

4.2 Initiating a Supplier Qualification/Re-qualification

4.2.1 PA: Ensure that the supplier evaluation process is initiated as soon as practical to minimize or eliminate potential delay in purchase order or contract award. In conjunction with program/project/functional management and/or designee(s), initiate the supplier evaluation process as follows:

4.2.1.1 Complete Form 414.A05, “Supplier Qualification Services Request,” and electronically submit according to form directions.

NOTE: *Form 414.A05 is not required for commercial material acquisitions that are established as exempt from supplier evaluation, in accordance with Appendix E, Supplier Evaluation Exemption Criteria.*

4.2.1.2 Obtain and provide all applicable supplier documentation, (e.g., quality system description [manuals or plans], implementing documentation [procedures or instructions], certifications, permits, licenses, and/or records), as required to support execution of the designated evaluation method.

4.2.2 Procurement Quality Technical Lead: Assign a Lead Auditor to complete the required supplier evaluation.

4.2.3 Lead Auditor: Initiate, direct, complete, and report the evaluation in accordance with the designated evaluation method and this procedure.

4.2.3.1 In conjunction with direction/guidance received from Environmental and Regulatory Services, incorporate environmental liability considerations into the evaluation process.

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NOTE: *Environmental liability evaluation is required for offsite transportation, laboratory analysis, recycling, treatment, storage, and/or disposal of material or waste as part of a CERCLA, RCRA, or TSCA clean-up, research activity, investigation, removal, remediation, or disposal activity.*

4.3 Establishing and Controlling Qualified Supplier Information

NOTE: *The Qualified Supplier List (QSL) can be viewed via the intranet at <http://procurement.icp.gov>*

4.3.1 Manager, Quality Systems/Operations Support or Designee: Manage the supplier qualification and re-qualification processes and procedures by:

- Establishing the QSL controlling procedures
- Establishing the company-level QSL
- Establishing a QSL change control process
- Establishing a records management system for all records resulting from the supplier qualification process.

4.3.2 Procurement Quality Engineers: Perform the following actions.

4.3.2.1 Implement the QSL control procedures.

4.3.2.2 Maintain and control the company-level QSL.

4.3.2.3 Maintain and control the QSL change control process.

4.3.2.4 Maintain and control the records management system for all records resulting from the supplier qualification process.

4.3.2.5 Ensure that the QSL reflects current, complete, and accurate supplier qualification information and status at all times.

4.4 Qualified Supplier Change Control

4.4.1 Procurement Quality Engineer: Initiate the following types of changes to the QSL as required:

NOTE: *Access to the QSL and Vendor Data Qualification Data is restricted to the Quality Systems and Operations Support (QS/OS) Manager, and personnel assigned to the supplier qualification function.*

- A. Additions—Initial additions to the QSL will be authorized subject to the satisfactory completion of a Type I, II, or III

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Evaluation. Initial qualification period shall normally be 3 years or to the expiration date of the third-party certification.

B. Extensions—Extensions may be authorized subject to one of the following events/conditions:

- Recent supplier performance is satisfactory
- Satisfactory completion of a new DOECAP audit, including approved corrective action plan, if required
- Satisfactory completion of a new Type I, II, or III Evaluation; or external audit completed in accordance with this procedure.

NOTE: *Unless otherwise directed by the QS/OS manager or designee, extensions are authorized in 3-month increments for a cumulative period of 12 months maximum, whereupon requalification is required in lieu of suspension. Extensions may be denied at any time, subject to the approval of the QS/OS manager.*

C. Suspensions—Suspension from the QSL will be authorized subject to any of the following events/conditions:

- Twelve consecutive months of inactivity
- Unsatisfactory periodic re-evaluation
- Unsatisfactory company, DOECAP audit
- When otherwise directed by the QS/OS Manager.

NOTE 1: *Inactivity is defined as a condition when no open orders/transactions exist **and** there have been no open orders in the previous 12 months.*

NOTE 2: *Specific calibration services suppliers will be maintained on the QSL for a period of 36 months, regardless of interim activity, as directed by the QS/OS manager. These suppliers support the Standards and Calibration Lab for devices requiring calibration or servicing on a 36-month cycle.*

D. Reinstatement—Reinstatement of previously *qualified suppliers* (see def.) to the QSL will be authorized subject to any of the following events/conditions:

- Satisfactory completion of a new Type I, II, or III Evaluation

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- Satisfactory completion of a new DOECAP audit/evaluation including approved corrective action plan, if required
- When otherwise directed by the QS/OS Manager.

NOTE: *Reinstatement of previously qualified suppliers may be authorized at any time, subject to the approval of the QS/OS Manager.*

- E. Requalification-Requalification is required every 3 years. Requalification is complete when a new Type I, II, or III Evaluation is performed.

4.4.2 Procurement Quality Engineer: Process all changes to the QSL and the Vendor Qualification Data in accordance with the following, unless otherwise directed by the QS/OS manager.

4.4.2.1 Categorize and process changes proposed to the QSL as one of the following change types:

A. Addition

Required for placement of any new supplier on the QSL (not listed in the past 5-year period).

B. Extension

Required to extend any currently qualified supplier (any supplier listed on the QSL).

C. Suspension

Required to remove any supplier from the QSL for any reason including, expiration, adverse performance, or inadequate justification to retain.

D. Reinstatement

Required to add any supplier to the QSL, who has previously been suspended (within the past 5 years).

E. Requalification

Required every 3 years for suppliers on the QSL.

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F. Other

Required for miscellaneous actions including data correction, modification, or editing as deemed necessary.

4.4.2.2 Initiate a QSL change.

4.4.2.2.1 Complete Form 414.10, “Qualified Supplier Change Authorization.”

NOTE: *Form 414.10 is not required if performing a supplier performance review in accordance with Section 4.5.*

4.4.2.2.2 Submit changes to the QSL to the QS/OS manager or designee for approval prior to completing the proposed change.

4.4.2.3 Complete a QSL Change.

4.4.2.3.1 Complete approved changes as authorized by Form 414.10.

4.4.2.3.2 Update data base concurrently with QSL status changes, as applicable.

4.4.2.3.3 Retain and manage approved change documentation and resulting correspondence in accordance with Appendix G, “Supplier Qualification Records Control.”

4.4.2.4 Complete notification of QSL Changes.

4.4.2.4.1 Make the following notifications, unless otherwise directed by the QS/OS manager:

A. Additions

External correspondence shall be addressed to the appropriate level of supplier management.

B. Extensions

None required. Subject to the discretion of the QS/OS manager.

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C. Suspensions

Suspensions shall be announced via electronic mail notification to all Procurement and QS/OS management.

External correspondence shall be prepared at the discretion of the QS/OS manager.

D. Reinstatements

External correspondence shall be addressed to the appropriate level of supplier management.

E. Requalifications

External correspondence shall be addressed to the appropriate level of supplier management.

4.5 Performance Review of Qualified Suppliers

4.5.1 Procurement Quality Engineer: Conduct periodic performance review of qualified suppliers in accordance with this procedure. Unless otherwise directed by the QS/OS manager, performance reviews of qualified suppliers will be completed every 12 months, not to exceed 16 months.

4.5.2 Include one or more of the following elements in the re-evaluation:

- A. Review of documentation furnished by the supplier (such as certificates of conformance, nonconformance documentation, and corrective actions)
- B. Results of previous audits, inspections, and/or assessments, including audits from other external sources, i.e., DOECAP
- C. Operating experience of identical or similar work furnished by the same supplier
- D. A review of procurement documents to determine what additional work the supplier has received since the initial contract
- E. Review of applicable material receiving inspection discrepancy reports (RIDRs).

NOTE: *Performance reviews of qualified suppliers may be waived subject to satisfactory completion of a new Type I, II, or III evaluation performed in accordance with this MCP.*

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- 4.5.3 Procurement Quality Engineer: Determine need and justification for the performance review.
- 4.5.4 Perform, or direct the performance of the performance review in accordance with this procedure.
- 4.5.5 Initiate the performance review process. As applicable to the supplier and the objectives of the performance review, incorporate one or more of the following into the performance review process:
- A. Operating experience via performance data/history analysis (i.e., performance evaluation system data, stop work action reports, discrepancy reports, and nonconformance reports).
 - B. Review of documentation previously furnished by the supplier (i.e., submittals, certificates of conformance, vendor data, and nonconformance documentation).
 - C. Review of all procurement documents issued to the supplier since the initial qualification or most recent re-qualification.
 - D. Results of previous on-site assessments, inspections, management assessments, and receiving inspections including audits from other sources.
- 4.5.6 For all Type I and II supplier evaluation/qualifications, verify the suppliers program is active and no major changes/revisions have occurred within the supplier's quality assurance program or organization that would invalidate the initial supplier qualification. Verification shall be accomplished by one or both of the following methods:
- A. Verify the supplier's quality system program is current with the original evaluation/qualification basis. If the supplier's program has been revised since the original evaluation, determine if the changes are major and/or effect the original qualification approval (evaluation basis).
 - B. Verify supplier system certificates (i.e., International Standards Organization [ISO], American Society of Mechanical Engineers [ASME]) are current and valid. As deemed necessary, conduct a supplier facility/work area surveillance or site visit.
- 4.5.7 Reporting Supplier Performance Results**
- 4.5.7.1 Procurement Quality Engineer: Document and report supplier performance results on Form 414.11, "Performance Review of Qualified Suppliers." All documentation utilized

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to complete the performance review shall be attached to, or referenced by, the subject report.

- 4.5.7.2 Elevate performance resulting in unsatisfactory conditions to the QS/OS Manager/designee for review and disposition. Changes resulting from the performance review process shall be performed in accordance with this procedure.

5. RECORDS

The Supplier Qualification File (SQF) consists of various records as identified herein. The SQF is a non-permanent Quality Assurance Record. Records shall be processed in accordance with Appendix G, “Supplier Qualification Records Control.”

SQF

Form 414.10, “Qualified Supplier Change Authorization”

Form 414.11, “Performance Review of Qualified Suppliers”

NOTE: [MCP-557, “Records Management,”](#) the [INL Records Schedule Matrix](#), and associated [record types list\(s\)](#) provide current information on the storage, turnover, and retention requirements for these records.

6. DEFINITIONS

Active Supplier Qualification Record. Designation given to the supplier qualification record file (a nonpermanent record) associated with each supplier currently listed on the QSL.

Commercial Item. See LST-199

Commercial grade item. See LST-199

Dedication. See LST-199

(See MCP-3772)

Engineered Item or Hardware. Systems, structures, components, or other non-catalog products that do not meet the definition of a commercial item, or nuclear item, and their design, manufacture, or fabrication is directly affected or directed by a CWI-produced specification or drawing; or a specification or drawing produced for the company by a subcontractor.

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Inactive Supplier Qualification Record. Designation given to the supplier qualification record file (a nonpermanent record) associated with suppliers previously listed on the QSL.

Materials. All-inclusive term used in place of any of the following: appurtenance, assembly, component, equipment, item, module, part, structure, sub-assembly, subsystem, system, or unit.

Nuclear Item. Described by an established brand name, manufacturer description, make, model, part, or catalog number, which is: produced uniquely for the nuclear industry; manufactured under the control of a nationally recognized quality program (i.e., ASME, NQA-1, ISO 9001/9002 etc.); and does NOT meet the definition of an Engineered Item.

Performance Review. The process of periodically evaluating currently qualified suppliers to verify continued satisfactory performance and capability.

Quality level (QL). See LST-199

Quality Significant. See LST-199

Qualified Supplier. A first-tier supplier of quality significant materials and/or services, evaluated in accordance with specified criteria and approved to provide designated items and/or services in accordance with applicable codes, standards, and/or regulations.

Service. See LST-199

Stock Material. Material obtained using an industry standard material specification, e.g., American Society for Testing and Materials (ASTM), SAE, which is not produced uniquely for the nuclear industry (i.e., bar stock, sheet, plate, pipe, etc.).

Supplier. See LST-199

7. REFERENCES

Letter from Jesse Hill Robertson, Assistant Secretary for Environmental Management, Implementation of the Environmental Management Consolidated Audit Program, February 12, 2003 via Department of Energy Memorandum for Distribution, February 12, 2003, Implementation of the Environmental Management Consolidation Program

Form 414.11, "Performance Review of Qualified Suppliers"

MCP-196, "Qualification of Auditors and Lead Auditors"

MCP-1185, "Material Acquisitions"

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MCP-1186, “Service Acquisitions”

MCP-3480, “Environmental Instructions for Facilities, Processes, Materials, and Equipment”

MCP-3772, “Commercial Grade Dedication”

8. APPENDICES

Appendix A, Supplier Evaluation Method Requirements

Appendix B, Type I Supplier Evaluation

Appendix C, Type II Supplier Evaluation

Appendix D, Type III Supplier Evaluation

Appendix E, Supplier Evaluation Exemption Criteria

Appendix F, DOECAP Supplier Evaluations

Appendix G, Supplier Qualification Records Control

Appendix H, Supplier Evaluation Report Format

Appendix I, Supplier Corrective Action Request Process

Appendix J, Process for Performing a Commercial Grade Survey

Appendix K, Procedure Basis

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Appendix A**Supplier Evaluation Method Requirements**

This appendix identifies required evaluation methods based upon the assigned QL, i.e., 1, 2, or 3, and the acquisition type, i.e. *engineered material* (see def.), *nuclear items* (see def.), service (see def.), or *commercial item* (see def.).

Upgrades in evaluation levels, i.e. Type II to Type I, are authorized when directed by the affected program/project/functional manager and/or designee.

Downgrades in evaluation levels beyond allowable substitutions, i.e. Type I to Type II, require justification and concurrence from the cognizant program/project/functional manager and the assigned Program/Project Quality Engineer (P/PQE). This justification and approval shall be documented as an Interoffice Memorandum (IM) or e-mail addressed to the QS/OS Manager. Final approval of downgrades from established evaluation methods and requirements is assigned to the QS/OS Manager.

1. Engineered Materials and Nuclear Items**1.1 Quality Level 1**

Required Evaluation Method: Type I

Substitution(s): A Type II Evaluation may be authorized for unique and isolated transactions when, as applicable, **ALL** of the following compensatory conditions/actions are satisfied:

- A. In accordance with MCP-1185, specify the applicable quality assurance program requirements using the 414.A92 series of forms for “Selectable Quality Clauses.”
- B. Satisfactory performance history in supplying equivalent or similar type materials is available.
- C. Adequate provisions for product verification and acceptance at the source, intermediate, and/or final destination are established.

1.2 Quality Level 2

Required Evaluation Method: Type I

Substitution(s): A Type II Evaluation may be authorized for unique and isolated transactions when, as applicable, **ALL** of the following compensatory conditions/actions are satisfied:

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- A. In accordance with MCP-1185, specify the applicable quality assurance program requirements using the 414.A92 series of forms.
- B. Satisfactory performance history in supplying equivalent or similar type material is available.
- C. Adequate provisions for product verification and acceptance at the source, intermediate, and/or final destination are established.

1.3 Quality Level 3

Required Evaluation Method: Type II (when required by the Technical Authority and the Program/Project Quality Engineer).

2. Services

2.1 Quality Level 1

Required Evaluation Method: Type I

Substitution(s): A Type II Evaluation may be authorized for unique and isolated transactions when, as applicable, **ALL** of the following compensatory conditions/actions are satisfied:

- A. In accordance with MCP-1186, specify the applicable quality assurance program requirements using the 414.A92 series of forms.
- B. Satisfactory performance history in supplying equivalent or similar type services is available.
- C. Adequate provisions for acceptance are established.

2.2 Quality Level 2

Required Evaluation Method: Type I

Substitution(s): A Type II Evaluation may be authorized for unique and isolated transactions when, as applicable, **ALL** of the following compensatory conditions/actions are satisfied:

- A. In accordance with MCP-1186, specify the applicable quality assurance program requirements using the 414.A92 series of forms.
- B. Satisfactory performance history in supplying equivalent or similar type services is available.
- C. Adequate provisions for acceptance are established.

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2.3 Quality Level 3

Required Evaluation Method: Type II (when determined by the Technical Representative and the Program/Project Quality Engineer).

- A. Exception: Unless otherwise directed by Environmental and Regulatory Services, off-site waste transportation, recycling, treatment, storage, or disposal of material or waste services, as part of a CERCLA, RCRA, or TSCA clean-up, laboratory analysis, research, investigation, removal, remediation, or disposal activity, require a Type I Evaluation.

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Appendix B**Type I Supplier Evaluation**

A comprehensive on-site evaluation of quality system documentation, quality system implementation, and technical capability based upon the applicability of nationally or internationally recognized consensus standards, codes, specifications, and/or regulations. This evaluation includes a technical evaluation of facilities, equipment, tooling, capacity, personnel, and/or other factors (i.e., regulatory compliance) deemed essential to the deliverable(s) and/or scope of work.

1. GENERAL REQUIREMENTS

- 1.1 Type I Supplier Evaluations shall be performed by QS/OS or a QS/OS designee.
- 1.2 Type I Supplier Evaluations are conducted under the specific direction of a Lead Auditor certified in accordance with MCP-196, “Qualification of Auditors and Lead Auditors.”
- 1.3 Type I Supplier Evaluations are planned, scheduled, conducted, and reported, in accordance with this Appendix.
- 1.4 Satisfactory completion of a Type I Supplier Evaluation does not eliminate adequate planning for product verification and acceptance at the source, intermediate, and/or final destination.
- 1.5 Type I Supplier Evaluation costs (both labor and non-labor) are not included the procurement material handling rate and require funding by the requesting or benefiting organization.

2. INITIATING A TYPE I SUPPLIER EVALUATION

- 2.1 QS/OS Manager/Designee: Select and designate the supplier qualification Lead Auditor, assuring adequate knowledge and familiarity of the applicable specifications, codes, standards, and other requirements specific to the material and/or service required.
- 2.2 For all personnel external to QS/OS, Form 224.01 must be completed, ensuring adequate knowledge and familiarity specific to the material or service being procured.
- 2.3 Team Lead: Initiate and complete Form 225.06, “Supplier Evaluation Plan.” Evaluation planning shall define, the following:
 1. Evaluation Objective

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2. Evaluation Scope, to include:
 - Actions/Methods to Identify Previous Evaluation Results (from any internal or external source)
 - Actions/Methods to Determine Supplier Performance History (from any internal or external source)
3. Evaluation Basis
4. Evaluation Schedule

NOTE: *The form is optional for vendors that have been assessed in the DOECAP.*

- 2.4 Identify and designate team members as required to fully execute the evaluation plan. Team personnel shall consist of the necessary subject matter/technical experts as determined to be appropriate by the Lead Auditor, to completely evaluate supplier capability. Technical and/or discipline subject matter experts include but are not limited to engineering, industrial safety, radcon, industrial hygiene, waste management, metrology, fire protection, analytical laboratory, environmental protection, quality assurance, etc.
- 2.5 Evaluations which require an environmental liability assessment as an element of the evaluation basis shall include a representative from Environmental and Regulatory Services.
- 2.6 QS/OS Manager or Designee: Concur with the Supplier Evaluation Plan (SEP) and evaluation team composition, prior to initiating the planned evaluation.
- 2.7 Lead Auditor: Complete an initial evaluation team briefing. Review scope, team assignments, and other relevant information as required.
- 2.8 Lead Auditor or Procurement Agent: Schedule the evaluation process with the prospective supplier and provide administrative coordination and other support as required to facilitate timely execution of the SEP.

3. CONDUCTING A TYPE I SUPPLIER EVALUATION

- 3.1 Lead Auditor. Conduct pre-evaluation meeting with the appropriate supplier management representative(s). Establish scope, schedule, protocol, and logistics, of the evaluation process. Record pre-evaluation meeting attendance, scope, and other relevant information, on or attached to, Form 225.10, "Attendance Sheet."

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- 3.2 Initiate evaluation in accordance with the approved SEP. Evaluation techniques shall include personnel interviews, review of objective evidence, and witnessing of in-process work, as defined by the SEP.
- 3.3 Upon conclusion of the evaluation process, conduct an evaluation close-out meeting with the designated and appropriate supplier management representation. Evaluation results shall be reported verbally only.
- 3.4 Record the evaluation close-out meeting attendance, scope, and summary, on or attached to, Form 225.10.

4. REPORTING EVALUATION RESULTS

- 4.1 Lead Auditor: Report Supplier evaluation results utilizing Form 414.69, “Supplier Evaluation Report,” or separate evaluation report format in Appendix H, “Supplier Evaluation Report Format.” Document deficiencies on Form 414.74, “Supplier Corrective Action Request” following the process described in Appendix I.
 - 4.1.1 As applicable, establish follow-on recommendations for source verification level, supplier surveillance, and/or external audit.
- 4.2 QS/OS Manager/Designee: Review and approve the evaluation report for clarity, legibility, completeness, and accuracy. Reconcile any discrepancies with the Team Lead.
- 4.3 Lead Auditor: Transmit evaluation results via external correspondence (QS/OSM signature required) to the appropriate level of supplier management and as applicable, the affected Idaho Cleanup Project (ICP) program/project/functional management or designee(s). Include, as required, specific instructions for supplier response and required actions to obtain qualified supplier status.
- 4.4 If the evaluation resulted in qualification of the supplier, GO TO Step 6.1.

5. RESOLUTION OF DEFICIENCIES

- 5.1 Lead Auditor: Obtain supplier response to all deficiencies as noted in the evaluation report.

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5.2 Review the supplier response to the evaluation report.

5.2.1 IF satisfactory,
THEN GO TO Step 6.1.
IF NOT, notify supplier of deficient conditions and in conjunction with the QS/OSM/Designee, provide detailed instruction relative to remaining actions required.

6. SUPPLIER QUALIFICATION STATUS

6.1 Procurement Quality Engineer: Upon completion of a satisfactory evaluation, to include the satisfactory resolution of all deficiencies, generate required change control documentation and initiate a QSL change in accordance with this MCP, Section 4.4, Qualified Supplier Change Control.

7. RECORDS

Supplier qualification records resulting from the Type I Supplier Evaluation method are established and maintained in accordance with Appendix G, Supplier Qualification Records Control.

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Appendix C**Type II Supplier Evaluation**

A comprehensive evaluation of quality system documentation and available qualitative and quantitative information, which provides objective evidence of system implementation and/or technical capability based on the applicability of nationally or internationally recognized consensus standards, codes, specifications, and/or regulations. Type II Supplier Evaluations may include surveillance of the supplier's facilities and or work areas, if required to support the documentation review.

1. GENERAL REQUIREMENTS

- 1.1 Type II Supplier Evaluations shall be performed by QS/OS or a QS/OS designee.
- 1.2 Type II Supplier Evaluations are conducted under the specific direction of a Lead Auditor certified in accordance with MCP-196, "Qualification of Auditors and Lead Auditors."
- 1.3 Type II Supplier Evaluations, are scheduled, conducted, and reported, in accordance with this appendix.
- 1.4 Satisfactory completion of a Type II Supplier Evaluation does not eliminate adequate planning for product verification and acceptance at the source, intermediate, and/or final destination.
- 1.5 Type II Supplier Evaluation costs (both labor and non-labor) are not included the procurement material handling rate and require funding by the requesting or benefiting organization.

2. INITIATING A TYPE II SUPPLIER EVALUATION

- 2.1 QS/OS Manager/Designee: Select and designate the evaluation Team Lead, ensuring adequate knowledge and familiarity of the applicable specifications, codes, standards, and other requirements specific to the material or service required.
- 2.2 For all personnel external to QS/OS, Form 224.01 must be completed, ensuring adequate knowledge and familiarity specific to the material or service being procured.
- 2.3 Lead Auditor: Complete Form 225.06, "Supplier Evaluation Plan." Evaluation planning shall define the following:
 - A. Evaluation Objective

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- B. Evaluation Scope, to include:
- Actions/Methods to Identify Previous Evaluation Results (from any internal or external source)
 - Actions/Methods to Determine Supplier Performance History (from any internal or external source)
- C. Evaluation Basis
- D. Evaluation Schedule

NOTE: *The form is optional for vendors that have been assessed in the DOE CAP.*

- 2.4 Identify and designate team members as required to fully execute the evaluation plan as deemed necessary. Team personnel shall consist of the necessary subject matter/technical experts as determined to be appropriate by the Lead Auditor, to completely evaluate supplier capability. Technical and/or discipline subject matter experts include but are not limited to engineering, industrial safety, radcon, industrial hygiene, waste management, metrology, fire protection, analytical laboratory, environmental protection, quality assurance, etc.
- 2.5 Evaluations which require an environmental liability assessment as an element of the evaluation basis shall include a representative from Environmental and Regulatory Services.
- 2.6 QS/OS Manager or Designee: Concur with the SEP and evaluation team composition, prior to initiating the planned evaluation.
- 2.7 Procurement Agent: Provide administrative coordination and other support as required to facilitate timely execution of the SEP.

3. CONDUCTING A TYPE II SUPPLIER EVALUATION

- 3.1 Lead Auditor: Initiate and complete the documentation evaluation in accordance with the approved SEP.

4. REPORTING EVALUATION RESULTS

- 4.1 Lead Auditor: Document evaluation results on Form 414.69, "Supplier Evaluation Report," or separate evaluation report format in Appendix H, "Supplier Evaluation Report Format." Report deficiencies on Form 414.74, "Supplier Corrective Action Request," following the process described in Appendix I.
- 4.1.1 As applicable, establish follow-on recommendations for source verification level, supplier surveillance, and/or external audit.

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- 4.2 Transmit evaluation results via external correspondence (QS/OS Manager signature required) to the appropriate level of supplier management and as applicable, affected ICP program/project/functional management or designee(s). Include as required, specific instructions for supplier response and required actions.
- 4.3 IF the evaluation results in qualification of the supplier,
THEN GO TO Step 6.1.

5. RESOLUTION OF DEFICIENCIES

- 5.1 Lead Auditor: Review the supplier response to the evaluation report.

IF satisfactory,

THEN GO TO Step 6.1.

IF NOT, notify supplier of deficient responses or actions and in conjunction with the QS/OS Manager/Designee, provide detailed instruction relative to remaining actions required.

6. SUPPLIER QUALIFICATION STATUS

- 6.1 Procurement Quality Engineer: Upon completion of a satisfactory evaluation, to include the satisfactory resolution of all deficiencies, generate the required change control documentation and initiate a QSL change in accordance with this MCP, Section 4.4, Qualified Supplier Change Control.

7. RECORDS

Supplier qualification records resulting from the Type II Supplier Evaluation method are established and maintained in accordance with Appendix G, Supplier Qualification Records Control.

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Appendix D**Type III Supplier Evaluation**

An on-site evaluation of commercial item manufacturers and/or authorized distributors to assess basic business management, material control practices, and as applicable, other required capabilities.

1. GENERAL REQUIREMENTS

- 1.1 Type III Supplier Evaluations shall be performed by QS/OS or a QS/OS designee.
- 1.2 Type III Supplier Evaluations are conducted under the specific direction of a Lead Auditor certified in accordance with MCP-196, “Qualification of Auditors and Lead Auditors.”
- 1.3 Type III Supplier Evaluations are conducted and reported in accordance with this Appendix.
- 1.4 Satisfactory completion of a Type III Supplier Evaluation does not eliminate adequate planning for product verification and acceptance at the source, intermediate, and/or final destination.
- 1.5 Type III Supplier Evaluation costs (both labor and non-labor) are not included in the procurement material handling rate are require funding by the requesting or benefiting organization.

2. INITIATING A TYPE III SUPPLIER EVALUATION

- 2.1 QS/OS Manager/Designee: Select and designate the evaluation Team Lead, ensuring adequate knowledge and familiarity of the applicable specifications, codes, standards, and other requirements specific to the material or service required.
- 2.2 For all personnel external to QS/OS, Form 224.01 must be completed, ensuring adequate knowledge and familiarity specific to the material or service being procured.
- 2.3 Lead Auditor: Complete Form 225.06, “Supplier Evaluation Plan.” Evaluation planning shall define the following:
 - A. Evaluation Objective

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- B. Evaluation Scope, to include:
- Actions/Methods to Identify Previous Evaluation Results (from any internal or external source)
 - Actions/Methods to Determine Supplier Performance History (from any internal or external source)

C. Evaluation Basis

D. Evaluation Schedule

NOTE: *The form is optional for vendors that have been assessed in the DOE CAP.*

- 2.4 Identify and designate team members as required to fully execute the evaluation plan as deemed necessary.
- 2.5 QS/OS Manager or Designee: Concur with the SEP and evaluation team composition, prior to initiating the planned evaluation.
- 2.6 Procurement Agent: Provide administrative coordination and other support as required to facilitate timely execution of the SEP.

3. CONDUCTING A TYPE III SUPPLIER EVALUATION

- 3.1 Lead Auditor: Conduct a pre-evaluation meeting with the appropriate supplier management representative(s). As applicable, establish the scope, schedule, protocol, and logistics of the evaluation process. Record the pre-evaluation meeting attendance, scope, and other relevant information, on or attached to, Form 225.10, "Attendance Sheet."
- 3.2 Initiate evaluation in accordance with the approved SEP. As applicable, evaluation techniques shall include personnel interviews, review of objective evidence, and witnessing of in-process work, as defined by the SEP.
- 3.3 Upon conclusion of the evaluation process, conduct an evaluation close-out meeting with the appropriate supplier management representative(s). Evaluation results shall be reported verbally only.

4. REPORTING EVALUATION RESULTS

- 4.1 Lead Auditor: Report the evaluation results on Form 414.69, "Supplier Evaluation Report," and QS/OS guidelines for format and content. Report deficiencies on Form 414.74, "Supplier Corrective Action Request," following the process described in Appendix I.

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4.1.1 As applicable, establish recommendations for source verification level, supplier surveillance, and/or external audit.

4.2 Transmit evaluation results via external correspondence to the appropriate level of supplier management and as applicable, affected ICP program/project/functional management or designee(s). Include as applicable, specific instructions for supplier response and required actions.

4.3 IF the evaluation results in qualification of the supplier,
THEN GO TO Step 6.1.

5. RESOLUTION OF DEFICIENCIES

5.1 Lead Auditor: Review the supplier response to the evaluation report.

5.1.1 IF satisfactory,
THEN GO TO Step 6.1.
IF NOT, notify supplier of continued deficient conditions and in conjunction with Procurement Quality Engineer, provide detailed instruction relative to the remaining actions required.

6. SUPPLIER QUALIFICATION STATUS

6.1 Procurement Quality Engineer: Upon satisfactory completion of a satisfactory evaluation, to include satisfactory resolution of all deficiencies, generate the required change control documentation and initiate a QSL change in accordance with this MCP, Section 4.4, Qualified Supplier Change Control.

7. RECORDS

Supplier qualification records resulting from the Type III Supplier Evaluation method are established and maintained in accordance with Appendix G, Supplier Qualification Records Control.

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Appendix E

Supplier Evaluation Exemption Criteria

Exemptions to the supplier evaluation requirement(s) may be requested on a case-by case basis. Exemptions are requested by the assigned Procurement Agent as deemed necessary to facilitate **unique, non repetitive** acquisition needs; or to support emergent project or facility unique acquisitions.

Unless otherwise approved by the QS/OS Manager, exemptions are limited to **commercial item** acquisitions and are not applicable to *engineered items* (see def.); nuclear items including those commercial items being dedicated for nuclear applications; or Service acquisitions.

Exemptions will **only** be authorized for two or fewer unique and isolated transactions from a supplier when all of the following conditions and actions (A through D) are satisfied:

- A. An acceptable original equipment manufacturer (OEM) or an authorized OEM distributor is not currently listed on the QSL in order to support an emergent project or facility unique acquisition.

NOTE: *Continued utilization of the same supplier (OEM or Distributor) requires supplier qualification and evaluation in accordance with this procedure and the OEM exemption will no longer be granted.*

Exemptions, beyond the two allowable, require justification and concurrence from the cognizant program/project/functional manager, the assigned Program/Project Quality Engineer (P/PQE) and Subcontracts/Procurement Manager. This justification and approval shall be documented as an Interoffice Memorandum, prepared in strict accordance with current IM guidelines, and addressed to the QS/OS Manager. Final approval of exemptions beyond the two allowable is assigned to the QS/OS Manager.

- B. The item must be acquired directly from the source that has been authenticated, in writing, by the PA as the OEM or an authorized OEM distributor.
- C. The item **does not** require *dedication* (see def.) in accordance with MCP-3772, “Commercial Grade Dedication.”

Special Point of Emphasis

An OEM exemption **will** be applied to the first utilization of an OEM/Distributor for a part which is to be *dedicated* (see def.) as a *Commercial Grade Item* (see def.). Supplier qualification in accordance with this procedure will commence concurrent with the procurement and must be completed within three (3) months or before the next purchase from the OEM/Distributor, whichever is the lesser time period.

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NOTE 1: *Commercial item(s) that are intended to be utilized in a Safety Class or Safety Significant application may require dedication as a Commercial Grade Item per MCP-3772.*

NOTE 2: *It is unlikely that suppliers of commercial items will meet the QL 1 (see def.) evaluation criteria. However, these suppliers may meet the QL 2 evaluation criteria. Therefore, it may be possible to procure a commercial item for use in a safety application without requiring dedication per MCP-3772. (Reference MCP-1185, Material Acquisitions).*

- D. Adequate provisions for product verification and acceptance or receiving inspection at either the source, intermediate, and/or final destination can be established.

Exemptions are requested from, and authorized by, the Procurement Quality Engineer in conjunction with Purchase Order (PO) review responsibilities.

Procurement Quality Engineer will log OEM exemptions in the CWI ProTrak system and report on a monthly basis the exemptions granted to suppliers. Suppliers exceeding the two time exemption criteria will be evaluated and qualified in accordance with this procedure. Any approved requests for exemption, beyond the two allowed, shall be attached to the CWI ProTrak log entry.

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Appendix F**DOECAP Evaluations****1. GENERAL REQUIREMENTS**

- 1.1 DOECAP audits do not result in a pass/fail rating. The audit reports reflect a general acceptability for use. Therefore, audit information for suppliers currently listed on the DOECAP database will require a desktop review/evaluation by QS/OS, or a QS/OS designee.
- 1.2 DOECAP Supplier Evaluations/Reviews are conducted under the specific direction of a Lead Auditor, certified in accordance with MCP-196, "Qualification of Auditors and Lead Auditors."
- 1.3 DOECAP Supplier Evaluations are conducted and reported in accordance with this Appendix.
- 1.4 Satisfactory completion of a DOECAP Supplier Evaluation does not eliminate onsite visits and/or surveillances for contract compliance, verification, or acceptance.

2. INITIATING A DOECAP SUPPLIER EVALUATION REVIEW

- 2.1 QS/OS Manager/Designee: Select and designate the evaluation Lead Auditor, assuring adequate knowledge and familiarity of the applicable specifications, codes, standards, and other requirements specific to the material or service required.
- 2.2 For all personnel external to QS/OS, Form 224.01 must be completed, ensuring adequate knowledge and familiarity specific to the material or service being procured.
- 2.3 Lead Auditor: Identify and designate team members as required to fully execute the evaluation review. Team personnel shall consist of the necessary subject matter or technical experts as determined to be appropriate by the Lead Auditor, to completely evaluate supplier capability. Technical and/or discipline subject matter experts include but are not limited to radcon, industrial hygiene, waste management, analytical laboratory, environmental protection, quality assurance, etc.
- 2.4 Evaluations which require an environmental liability assessment as an element of the evaluation basis will include a representative from Environmental and Regulatory Services.
- 2.5 Transmit review forms (Form 414.69J) to all evaluation review subject matter experts (SMEs).

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- 2.6 Procurement Agent: Provide administrative coordination and other support as required to facilitate timely execution of the SEP.

3. CONDUCTING DOECAP SUPPLIER EVALUATIONS

- 3.1 Lead Auditor: Initiate and complete the documentation evaluation in accordance with the approved SEP. As applicable, conduct a pre-evaluation meeting with the appropriate audit team subject matter experts. Establish the scope, schedule, protocol, and logistics, of the evaluation process.
- 3.2 Initiate evaluation in accordance with the approved SEP. DOECAP/ audit reports and corrective action reports shall be reviewed to determine supplier status, capabilities and limitations. Evaluation techniques may also include review of objective evidence supplied by the supplier and personnel interviews as necessary to obtain additional information as defined by the SME.
- 3.3 Upon conclusion of the evaluation process, document evaluation/review results on Form 414.69J. Submit results to the Lead Auditor for inclusion in the final report.

4. REPORTING EVALUATION RESULTS

- 4.1 Lead Auditor: Obtain evaluation results from audit team and document final evaluation results on Form 414.69, "Supplier Evaluation Report." Audit information/evaluation results (to include 414.69J review sheets) shall be attached for qualification objective evidence.
- 4.1.1 As applicable, establish follow-on recommendations for source verification and/or supplier surveillance.

5. RESOLUTION OF DEFICIENCIES

- 5.1 Lead Auditor: Review the supplier response, as applicable, to the evaluation report.

IF satisfactory,

THEN GO TO Step 6.1.

IF NOT satisfactory, notify supplier of deficient responses or actions and in conjunction with the QS/OS Manager/Designee, provide detailed instruction relative to remaining actions required.

6. SUPPLIER QUALIFICATION STATUS

- 6.1 Procurement Quality Engineer: Upon completion of a satisfactory evaluation, to include the satisfactory resolution of all deficiencies, generate the required change control documentation and initiate a QSL change in accordance with this MCP, Section 4.4, Qualified Supplier Change Control.

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7. RECORDS

Supplier qualification records resulting from the DOECAP Supplier Evaluation method are established and maintained in accordance with Appendix G, Supplier Qualification Records Control.

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Appendix G**Supplier Qualification Records Control****1. INSTRUCTIONS****1.1 General Requirements**

- 1.1.1. Responsibility and accountability for this procedure is assigned to the Supplier Qualification Technical Lead and/or direct reports.
- 1.1.2. Supplier qualification records shall be maintained and controlled in accordance with this procedure.
- 1.1.3. Supplier qualification records shall be designated as *active supplier qualification records* (see def.) or *inactive Supplier Qualification Records* (see def).

NOTE: *Supplemental files may be maintained to retain supporting or informational material and/or documentation as deemed necessary. Examples of material/documentation include supplier literature, brochures and contact information, as well as operating procedures, manuals, plans, general correspondence, and other similar type documentation. These files are informational only, and are not subject to the controls of this procedure. These files will be destroyed in parallel with disposition of inactive supplier qualification records.*

- 1.1.4. Supplier qualification records shall be maintained and stored in TSA/TSB, in designated storage areas only. Records shall be indexed by Supplier company name and stored in color-coded file folders as described herein.
- 1.1.5. Supplier qualification files shall contain as a minimum, the following:
 - Form 225.06, “Supplier Evaluation Plan” (as applicable)
 - Form 225.10, “Attendance Sheet(s)” (as applicable)
 - A separate supplier evaluation report or Form 414.69, “Supplier Evaluation Report,” w/attachments
 - Form 414.74, “Supplier Corrective Action Request” (as applicable)
 - Form 414.10, “Qualified Supplier Change Authorization”
 - Form 414.11, “Performance Review of Qualified Suppliers,” (as applicable)
 - Supplemental information as determined to be appropriate

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- Form 414.69J, “Supplier Audit Review” (as applicable)

NOTE: *Supplier qualification files qualified by the U. S. Department of Energy Consolidated Audit Program (DOECAP) may not contain specific internal company Forms e.g., supplier evaluation plans.*

1.2 Supplier Qualification Records Validation

1.2.1 Originator: Review and validate each record file originating from the supplier evaluation and qualification process and all changes to previously validated record files. Originator’s record validation represents that all records required by this procedure are:

- Complete
- Accurate
- Legible
- Correct.

1.2.2 Upon successful validation, sign and date Form 414.10, “Qualified Supplier List Change Authorization.”

1.2.3 Quality Systems and Procurement Manager/Designee: The QS/OS manager/designee shall review and approve supplier qualification records for all QSL additions and/or supplier status change authorizations.

1.2.4 QS/OS manager/designee will sign and date Form 414.10 to indicate records review and acceptance of all QSL information changes.

1.2.5 Corrections to validated records require review and approval by the QS/OSM/designee.

1.3 Active Supplier Qualification Records

1.3.2 Storage and Access

1.3.2.1 Active supplier qualification records shall be generated and stored in green folders, or equivalent.

1.3.2.2 Storage requirements for active Supplier Qualification Records are as follows:

1.3.2.2.1.1 Full-time storage in a secured (key-lock) file cabinet(s), which meet or exceed the following: One-Hour Fire-Rated Class-B Cabinet(s) meeting the requirements of NFPA 232-1995.

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1.3.2.2.1.2 Access shall be restricted to authorized personnel only. Authorized personnel shall be designated by the Supplier Qualification Technical Lead. Identification of authorized personnel shall be posted at all times on all storage cabinets and/or locations, as deemed necessary. Identification of authorized personnel shall be maintained accurate and current at all times.

1.3.2.2.1.3 Active Supplier Qualification Records shall remain segregated from all other records associated with the supplier qualification process.

1.3.2.3 Non-standard validated record media, i.e., radiographs, photographs, negative, microfilm, and magnetic media, shall be protected as required to preclude damage from moisture, temperature, excessive light, electromagnetic fields, and stacking.

1.3.3 Temporary Use/Removal

1.3.3.1 Active Supplier Qualification Records shall be removed from protective storage under the supervision and control of the Supplier Qualification Technical Lead or direct reports only.

1.3.3.2 Unless in use, active Supplier Qualification Records shall be returned to storage immediately upon completion of intended use and no later than the same business day. A record check-out/check-in log, or other suitable tracking mechanism, shall be maintained to record all file removals and returns. Content and use of the log shall be defined by the Supplier Qualification Technical Lead.

NOTE: *Files removed for less than one business day and which remain within the custody of those personnel authorized access to active Supplier Qualification Records, do not require formal check-in/check-out.*

1.3.3.3 Distribution of active Supplier Qualification Records to any individual or organization beyond the QS/OS organization is not permitted, unless otherwise directed/approved by the Procurement & Supplier Quality Manager or designee.

1.3.3.4 Records shall be maintained as retrievable on demand.

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1.3.4 Record Disposition

1.3.4.1 Active Supplier Qualification Records shall be converted to inactive Supplier Qualification Files upon suspension of the subject supplier from the Qualified Supplier List.

NOTE: *Suspensions which are deemed temporary or are not otherwise considered to be permanent, do not require immediate conversion to inactive record status.*

1.3.4.2 Portions of active Supplier Qualification Records may be converted to inactive status when no longer deemed applicable or relevant to the current evaluation basis.

1.4 Inactive Supplier Qualification Records**1.4.1 Record Storage and Access**

1.4.1.1 Inactive Supplier Qualification Records shall be maintained in Nature Saver brand Classification Folders, Brand No. 01892, Color: Red, or equivalent. Conversion from active to inactive record status shall be completed within 30 days from the date of permanent suspension.

1.4.1.2 Storage requirements for inactive Supplier Qualification Records are as follows:

- A. Full-time storage in a secured (key-lock) file cabinet(s), which meets or exceeds (1) one-hour fire-rated Class B, and (2) the requirements of NFPA 232-1995.
- B. Access restricted to designated personnel only.
- C. Inactive Supplier Qualification Records shall remain segregated from all other records associated with the supplier qualification process.

1.4.1.3 Non-standard validated record media, i.e., radiographs, photographs, negative, microfilm, and magnetic media, shall be protected as required to preclude damage from moisture, temperature, excessive light, electromagnetic fields, and stacking.

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1.4.2 Temporary Use/Removal

- 1.4.2.1 Inactive Supplier Qualification Records shall be removed from storage under the supervision and control of the Supplier Qualification Technical Lead or direct reports.
- 1.4.2.2 Inactive Supplier Qualification Records shall be returned to storage immediately upon completion of intended use.
- 1.4.2.3 Distribution of inactive Supplier Qualification Records to any individual or organization beyond the Procurement Quality organization is not permitted, unless otherwise directed/approved by the Supplier Qualification Technical Lead or designee.
- 1.4.2.4 Records shall be maintained as retrievable within one working day.

1.4.3 Record Disposition

- 1.4.3.1 Inactive Supplier Qualification Records shall be purged and destroyed no sooner than 5 years from the date the record was designated as inactive.

1.5 Lost/Damaged Records

- 1.5.1 Procurement Quality Engineer: Upon discovery of lost or damaged supplier qualification records, initiate an analysis of the condition and determine the need and opportunity to re-create the lost or damaged record. Designate all re-created record files as LOST/DAMAGED RECORD – DUPLICATED.

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Appendix H

Supplier Evaluation Report Format

The following format will be used when developing supplier evaluation reports unless the Form 414.69 is determined to be adequate by the Lead Auditor.

1. OBJECTIVE

Provide a brief description of the objective of the evaluation. Include the Supplier Evaluation Number obtained from Procurement Quality Engineering, supplier name and dates the evaluation was completed.

2. SCOPE AND LOGISTICS

Provide a description of the scope and logistics of the evaluation. Include the names and titles of the audit team, a description of the entrance and exit meeting process and an overall discussion on the supplier evaluation.

Also, identify key personnel contacted and their titles. List the procedures and manual(s), and records reviewed or reference the checklist or other attachments to the report. Include the procedure/manual number, title, and revision information. For example, if an objective evidence list was made during the audit, a reference in the report to that list is acceptable as long as the list is attached to the report.

3. EVALUATION RESULTS

Provide a lead-in summary of the results including a brief description of findings, observations and noteworthy practices. Itemize each finding and observation. For findings, make reference to the Supplier Corrective Action Request number. For observations, provide sufficient detail so the supplier and others may understand the observations. If reference is made to supplier procedures, include the procedure number, title, and revision.

4. EVALUATION BASIS

List the evaluation basis in detail. For example, if ASME NQA-1-2000 was the basis list the applicable portions based on the Applicability Matrix. Also, provide a reference to the Contract or RFP number and title.

5. RECOMMENDATIONS

Provide the following information listed below.

5.1 Based upon the level of evaluation completed, the following actions are recommended:

If the supplier will be added to the CWI Qualified Suppliers List: Make the following recommendation:

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List (Supplier's Name) on the CWI Qualified Supplier List (QSL) with the following restriction statement:

Provide the restriction statement for the supplier including an expiration date for the qualification.

If the supplier will not be added to the CWI Qualified Suppliers List: Make the following recommendation:

The supplier will not be added to the CWI Qualified Supplier List until adequate corrective actions have been completed and verified.

5.2 In-Process Monitoring

Determine if any of the following activities are needed. If so, specify the need and recommend a frequency. Enter "None" if no verification or surveillance is recommended.

5.2.1 Source Verification –

5.2.2 Supplier Surveillance –

6. ATTACHMENTS

Provide a listing of all attachments to the report by title and, if applicable, number.

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Appendix I

Processing Supplier Corrective Action Requests (SCARs)

Supplier Corrective Action Requests (SCARs) are used in three different instances. The most common use of Form 414.74, “Supplier Corrective Action Request,” is documenting findings during initial supplier qualification activities. Another use of the SCAR is documenting findings noted during supplier surveillance activities. The third use of the SCAR is requesting corrective actions when suppliers exhibit significant negative trends in performance. In all three uses and other less common uses, the following process will be used to issue and track SCARs.

1. GENERAL REQUIREMENTS

- 1.1 Procurement Quality: Maintain a log of SCAR numbers. The SCAR numbers may use one of the following formats:
 - A. The Supplier Qualification Report number followed by a sequential number from 1 to 99.
 - B. A unique number from the logbook that use the format Fiscal Year, Supplier, sequential number (i.e., 09-ABC-01).
- 1.2 Lead Auditor/Surveillance Lead: Obtain a SCAR number from Procurement Quality.
- 1.3 Complete Form 414.74 using the assigned SCAR number.
- 1.4 If the SCAR is initiated as part of the initial supplier qualification, transmit the original SCAR with the supplier qualification report and provide a copy of the SCAR to Procurement Quality for tracking.

NOTE: *The audit report transmittal letter should specify the time line for reporting corrective action plans for the issue identified on the SCAR.*
- 1.6 If the SCAR is initiated due to supplier surveillance or negative trend in supplier performance, transmit the completed original SCAR to the Procurement Agent for processing to the supplier and provide a copy to Procurement Quality.
- 1.7 Procurement Agent: Transmit SCAR to supplier with a request response date and provide a copy of the transmittal to Procurement Quality for tracking.
- 1.8 Procurement Quality: Enter to the SCAR response due date into the tracking log.
- 1.9 Review the SCAR log monthly for overdue corrective action responses.
- 1.10 Notify the Lead Auditor and Procurement Agent of pending and overdue SCARs.

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- 1.11 Procurement Agent/Lead Auditor/Surveillance Lead: Upon receipt of the corrective action response, notify Procurement Quality that the response has been received.
- 1.12 For SCARs transmitted by the Procurement Agent, Procurement Agent forward response to the Lead Auditor or Surveillance Lead for review and acceptance.
- 1.13 For SCARs transmitted as part of the supplier audit report, Lead Auditor review corrective action response for acceptance.
- 1.14 Lead Auditor/Surveillance Lead: For acceptance corrective action plans, complete the corrective action verification section of the SCAR, attach the objective evidence used to close the SCAR, then sign and date the SCAR.
- 1.15 Forward the closed SCAR to Procurement Quality with a copy to the Procurement Agent.
- 1.16 Procurement Quality: Closed the SCAR in the logbook and file the completed SCR in the Supplier's Evaluation file.

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Appendix J

Process for Performing a Commercial Grade Survey

A commercial grade survey is performed as a supplemental method of verifying supplier abilities to support the commercial grade dedication process performed in accordance with MCP-3772, “Commercial Grade Dedication.”

A commercial grade survey is performed in accordance with a checklist or Form 431.53, “Commercial Grade Item Dedication Plan,” at the supplier’s facility, and it includes or addresses the following:

- Identification of the item(s), product line, or service included in the scope of the survey
- Identification of the critical characteristics to be controlled by the supplier
- Verification that the supplier’s processes and quality program controls are effectively implemented to control the critical characteristics
- Identification of the survey methods or verification activities performed, with results obtained
- Documentation of the adequacy of the supplier’s processes and controls.

A commercial grade survey may be performed only on suppliers with a documented quality program or management control system. After a supplier’s processes and controls have been determined to be adequate, those processes and controls are to be a part of the purchase order or control requirements for the commercial grade items or service, and the purchase order will require the supplier to provide a Certificate of conformance attesting to the implementation of the identified processes and controls.

The survey frequency shall be no longer than one year.

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Appendix K Procedure Basis

Step	Basis	Source	Citation
4.1; Appendix A, B, C, D	<p>Before awarding a contract, the purchaser will evaluate the supplier's capability to provide items or services in accordance with the requirements of the <i>procurement documents</i>. Supplier evaluation and selection, and the results, will be documented and will include one or more of the criteria listed below.</p> <p>Supplier's history of providing an identical or similar product that performs satisfactorily in actual use. The supplier's history will reflect current capability.</p> <p>Supplier's current quality records supported by documented qualitative and quantitative information that can be objectively evaluated.</p> <p>Supplier's technical and quality capability as determined by a direct evaluation of the facilities, personnel, and implementation of the supplier's QAP.</p>	PRD-5078	4.1.2
4.1; Appendix A, B, C, D	<p>The proposal/bid evaluation process will include a determination of both the extent of conformance to the procurement document requirements, and the supplier's capability to conform to the technical and QA requirements.</p> <p>Before award of the contract, the purchaser will resolve or obtain commitments to resolve unacceptable technical and QA conditions resulting from the bid evaluation.</p>	PRD-5078	4.1.3
4.2	Establishing and implementing supplier qualification and requalification processes.	PRD-5089	3
4.3; 4.4; Appendix G	Controls will be implemented to ensure that the submittal, evaluation, acceptance, and control of supplier-generated documents are accomplished in accordance with the procurement document requirements. These controls will provide for the acquisition, processing, and recorded evaluation of the QA, technical, inspection, and test documentation or data against <i>acceptance criteria</i>	PRD-5078	4.1.4
4.5; Appendix A, B, C, D, E	Before offering the item or service for acceptance, the supplier will <i>verify</i> that the item or service being furnished complies	PRD-5078	4.1.5

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Step	Basis	Source	Citation
	with the procurement requirements. The supplier will provide the purchaser with objective evidence that items or services conform to procurement documents. Methods for accepting supplier furnished items or services will be appropriate to the items or services being procured		
4.5	When a certificate of conformance is used to accept an item or service, the requirements must be met	PRD-5078	4.1.6
4.5	When source verification is used, it will be performed at intervals consistent with: (a) the supplier’s planned inspections, examinations, or tests at predetermined points and (b) the importance and complexity of the item or service. Source inspection will include monitoring, witnessing, or observed selected activities.	PRD-5078	4.1.7
4.5	When receiving inspection is used to accept an item, purchased items will be inspected as necessary to verify conformance to specified requirements, taking into account source verification and audit activities and the demonstrated quality performance of the supplier.	PRD-5078	4.1.8
4.5	Methods for control and disposition of supplier nonconformances for items and services that do not meet procurement documentation requirements will include the following:	PRD-5078	4.1.11
4.5; Appendix A, B, C, D, E	Audits will be performed to <i>verify</i> that performance criteria are met and to determine the effectiveness of the program.	PRD-5089	4.1.1
4.5; Appendix A, B, C, D, E	Audits will be scheduled in a manner to provide coverage, consistency, and coordination with on-going work. Audits will be scheduled at a frequency commensurate with the status and importance of the work. Audits will be scheduled to begin as early in the life of the work as practical, and will be scheduled to continue at intervals consistent with the schedule for accomplishing the work. Regularly scheduled audits will be supplemented by additional audits of specific subjects when necessary to provide an adequate assessment of compliance or	PRD-5089	4.1.2

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Step	Basis	Source	Citation
	effectiveness.		
Appendix E	Controls shall be implemented to provide reasonable assurance that the commercial grade item or service will perform its intended safety function.	PRD-5069	4.1.2
Appendix F	An external liability assessment shall be completed prior to subcontract award for any offer of waste or recyclable materials for transportation, treatment, storage, disposal, or recycling with vendors not under subcontract with DOE at INL.	PRD-5030	Section 3.3.17
Appendix F	External audits of commercial mixed waste and low-level waste treatment, storage and disposal facilities used for activities under the Environmental Management (EM) Program shall be conducted solely by the EM's Management Consolidated Audit Program (EMCAP).	PRD-5030	Section 3.3.18
Appendix F	An external liability assessment shall be completed prior to subcontract award for all analytical laboratories or vendors not on the Qualified Supplier List that are used for analyzing Environmental Management (EM) samples or conducting treatability studies on EM samples. EM's Management Consolidated Audit Program (EMCAP) shall be the sole provider for audits of analytical laboratories.	PRD-5030	Section 3.3.19
Appendix F	Analytical laboratory assessments shall be conducted for all analytical laboratories not on the Qualified Supplier List that are used for analyzing Non-EM environmental samples to make sure that data is useable and dependable.	PRD-5030	Section 3.3.21
Appendix I	Identify requirements and responsibilities for ensuring that <i>conditions adverse to quality</i> are promptly identified and corrected as soon as practical through the company's Corrective Action System.	PRD-5087	All
Appendix J	Identify requirements and responsibilities to provide reasonable assurance that <i>commercial grade items</i> or <i>commercial grade services</i> perform their safety function.	PRD-5069	All

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