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Companywide	Program Requirements Document	For Additional Info: http://EDMS	Effective Date: 09/18/13
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1. PURPOSE

This program requirements document (PRD) identifies requirements and responsibilities for planning and executing procurement of *items* (see def.) and *services* (see def.) to ensure conformance with specified requirements.

2. APPLICABILITY

This PRD applies to company organizations responsible for planning and executing procurements to ensure that purchased items and services meet specified requirements. This section does not apply to direct-support services used for staff augmentation.

The *supplier* (see def.) selection and bid/proposal evaluation requirements of this section do not apply to situations where the Office of Civilian Radioactive Waste Management obtains the services of other Department of Energy (DOE) offices or federal agencies through memorandums of understanding, memorandums of agreement, program guidance memorandums, interagency agreements, or other documents containing appropriate technical and quality assurance (QA) requirements. Technical and quality requirements specified in these documents are verified to be satisfactorily incorporated into the applicable program before starting work subject to the Quality Assurance Requirements and Description (QARD) (Department of Energy/Office of Civilian Radioactive Waste [DOE/RW] -0333P).

3. RESPONSIBILITIES

3.1 Procurement Organization

The Procurement organization is responsible for developing and maintaining implementing procedures for the procurement process. In addition, the Procurement organization is responsible for executing corrective actions for any deficiencies in this process.

3.2 Operations Organizations

Operations organizations are responsible for carrying out requirements contained in this document through use of implementing documents. Specifically, Operations organizations are responsible for implementing this process for items and activities within the scope of this document at all operating facilities.

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3.3 Infrastructure Organizations

Infrastructure organizations are responsible for carrying out requirements and implementing direction contained in this document through use of implementing documents. Specifically, these organizations are responsible for implementing this process for items and activities within the scope of this document for all new construction and modifications managed as projects by Infrastructure organizations.

3.4 Procurement Quality Organization

The Procurement Quality organization is responsible for implementing this process for procured items and services within the scope of this document from source evaluation and selection through the *acceptance* (see def.) of the item or service by the *purchaser* (see def.).

3.5 Quality Engineering

The Quality Engineering organization is responsible for preparing receiving inspection documentation for use by the Quality Inspection organization. Receiving inspection documentation is to be prepared in coordination with the appropriate Engineering organization.

3.6 Quality Inspection

The Quality Inspection organization is responsible for performing receiving inspections on procured items as required by this document and associated implementing procedures. Receiving inspections are to be performed in accordance with written planning that documents quality acceptance.

3.7 Originating Organizations

Originating organizations are responsible for ensuring that procurement planning and procurement specification documentation are provided to the procurement organization.

3.8 Warehouse Organization

The Warehouse organization is responsible for *receiving* (see def.) items obtained through purchase requisitions in accordance with the requirements of this document and implementing procedures.

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3.9 Affiliated Company Partners

CH2M-WG Idaho, LLC (CWI) has affiliate company partners that will perform work. CWI will be the lead organization in this hierarchy of companies. Work performed will be directed by an approved Inter-Company Work Exchange Agreement (ICWEA). The partners will work to an American Society of Mechanical Engineers (ASME) Nuclear Quality Assurance (NQA)-1-based QA program (QAP) approved by CWI applicable to their scope of work. The partners will be audited and placed on the CWI Qualified Suppliers List. CWI QA will perform routine surveillances to ensure their approved QAPs are effectively implemented.

3.10 Engineering

3.10.1 The Area/Project Chief Engineer will:

- Direct, lead, and manage Operations Engineering at assigned Site areas
- Oversee all engineering and modification activities in assigned areas, including changes to new and existing configuration management structures, systems, or components (SSCs), to ensure that activities are performed per this PRD
- Recommend and manage modifications for multiple large projects, small projects, small facility modifications, and other tasks from initiation to completion
- Ensure adequate acceptance criteria are established to accept procured items and services.

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4. REQUIREMENTS**4.1 Companywide Applications**

The requirements identified in this PRD meet the requirements in “Quality Assurance Requirements for Nuclear Facility Application,” American Society of Mechanical Engineers (ASME) NQA-1-2008 with Addenda through NQA-1a-2009) and DOE O 414.1D, “Quality Assurance,” and the other standards listed in FWD-7, “Foreword.” These requirements apply to the entire company as defined by FWD-7,

4.1.1 Basic

4.1.1.1 The procurement of items and services will be controlled to ensure conformance with specified requirements. Such control will provide for the following as appropriate: source evaluation and selection; evaluation of *objective evidence* (see def.) of quality furnished by the supplier; and source inspection, audit, and examination of items or services upon delivery or completion.

4.1.2 Source Evaluation and Selection

4.1.2.1 Before awarding a contract, the purchaser will evaluate the supplier’s capability to provide items or services in accordance with the requirements of the *procurement documents* (see def.). Supplier evaluation and selection, and the results, will be documented and will include one or more of the criteria listed below:

- A. Supplier’s history of providing an identical or similar product that performs satisfactorily in actual use. The supplier’s history will reflect current capability.
- B. Supplier’s current quality records supported by documented qualitative and quantitative information that can be objectively evaluated.
- C. Supplier’s technical and quality capability as determined by a direct evaluation of the facilities, personnel, and implementation of the supplier’s QAP.

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4.1.3 Proposal Bid Evaluation

4.1.3.1 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.

4.1.3.2 Before award of the contract, the purchaser will resolve or obtain commitments to resolve unacceptable technical and QA conditions resulting from the bid evaluation.

4.1.4 Control of Supplier Generated Documents

4.1.4.1 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 *acceptance criteria* (see def.).

4.1.5 Acceptance of Items or Services

4.1.5.1 Before offering the item or service for acceptance, the supplier will *verify* (see def.) that the item or service being furnished complies with the procurement requirements.

4.1.5.2 When required by code, regulation, or contract, the supplier will provide the purchaser with objective evidence that items or services conform to procurement documents. The documentation will be available at the purchaser's facility before the item is installed or before the service is accepted.

4.1.5.3 Methods for accepting supplier-furnished items or services will include one or more of the following, as appropriate to the items or services being procured:

- A. Evaluating the supplier *certificate of conformance* (see def.)
- B. Performing one or a combination of source verification, receiving inspection, or post-installation test
- C. Technical verification of the item or service

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- D. Surveillance or audit of the work
- E. Review of objective evidence (e.g., certifications, stress reports, or personnel qualifications) for conformance to the procurement requirements.

4.1.6 Certificate of Conformance

When a certificate of conformance is used to accept an item or service, the following requirements must be met.

4.1.6.1 The certificate will identify the purchased material or equipment, such as by the purchase order number.

4.1.6.2 The certificate will identify the specific procurement requirements met by the purchased material or equipment, such as codes, standards, and other specifications.

NOTE: *This may be accomplished by either including a list of the specific requirements, or by providing, onsite, a copy of the purchase order and the procurement specifications or drawings, together with a suitable certificate.*

4.1.6.3 The procurement requirements identified will include any approved changes, *waivers* (see def.), or *deviations* (see def.) applicable to the subject material or equipment.

4.1.6.4 The certificate will identify any procurement requirements that have not been met, together with an explanation and the means for resolving the *nonconformance* (see def.).

4.1.6.5 The certificate will be signed or otherwise authenticated by a person who is responsible for this QA function and whose function and position are described in the purchaser's or supplier's QAP.

4.1.6.6 The certification system, including the procedures to be followed in filling out a certificate and the administrative procedures for review and *approval* (see def.) of the certificates, will be described in the purchaser's or supplier's QAP.

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4.1.6.7 Means will be provided to verify the validity of supplier certificates (such as certified material test reports) and the effectiveness of the certification system, such as during the performance of audits of the supplier or independent *inspection* (see def.) or test of items. Such verification will be conducted by the purchaser at intervals commensurate with the supplier's past quality performance.

4.1.7 Source Verification

4.1.7.1 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.

4.1.7.2 Source verification will be implemented in accordance with plans to perform inspections, examinations, or tests at predetermined points.

4.1.7.3 Upon purchaser acceptance of source verification, documented evidence of acceptance will be furnished to the receiving destination of the item, to the purchaser, and to the supplier.

4.1.8 Receiving Inspection

4.1.8.1 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.

4.1.8.2 Receiving inspection will verify by objective evidence such features as configuration; identification; dimensional, physical, and other *characteristics* (see def.); freedom from shipping damage; and cleanliness.

4.1.8.3 Receiving inspection will be coordinated with a review for adequacy and completeness of supplier documentation when procurement documents require such documentation to be furnished before receiving inspection.

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4.1.9 Post-installation Testing

- 4.1.9.1 When post-installation testing is used, post-installation test requirements and acceptance documentation will be mutually established by the purchaser and supplier.

4.1.10 Acceptance of Services Only (additional requirements to Subsections 4.1.5 through 4.1.7)

- 4.1.10.1 In cases involving procurement of services only, such as third party inspection; engineering and consulting service; auditing; and installation, *repair* (see def.), overhaul, or maintenance work, the purchaser will accept the service by any of the following methods:

- A. Technical verification of data produced
- B. Surveillance or audit of the work
- C. Review of objective evidence (such as certifications, stress reports, or personnel qualifications) for conformance to the procurement document requirements.

4.1.11 Control of Supplier Nonconformances

- 4.1.11.1 Methods for control and disposition of supplier nonconformances for items and services that do not meet procurement documentation requirements will include the following:

- A. Submittal of nonconformance notice to the purchaser by supplier as directed by the purchaser. These submittals will include supplier-recommended disposition (e.g., *use-as-is* [see def.] or *repair*) and technical justification.
- B. Nonconformances to the procurement requirements or purchaser-approved documents that consist of one or more of the following will be submitted to the purchaser for approval of the recommended disposition whenever one or more of the following conditions exist:

1. Technical or material requirement is violated

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2. Requirement in supplier documents, which have been approved by the purchaser, is violated
 3. Nonconformance cannot be corrected by continuation of the original manufacturing process or by *rework* (see def.)
 4. The item does not conform to the original requirement even though the item can be restored to a condition such that the capability of the item to function is unimpaired.
- C. Purchaser disposition of the supplier's recommendation.
 - D. Verification of the implementation of the disposition.
 - E. Maintenance of records of supplier-submitted nonconformances.
 - F. For items that have been received by CWI, an evaluation of nonconforming items performed in accordance with PRD-5086, "Control of Nonconforming Items."
- 4.1.12 When commercial grade items or services are utilized, the requirements of PRD-5069, "Dedication of Purchased Commercial Grade Items and Services," apply. If a supplier evaluation is required by the purchaser, the requirements of this PRD apply.

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4.2 Specific Requirements for DOE/RW-0333P, Quality Assurance Requirements and Description, Applications

This subsection contains additional requirements from the QARD (DOE/RW-0333P) that are specific to spent nuclear fuel and high-level waste activities as defined in FWD-7, “Foreword.”

4.2.1 Procurement Planning

4.2.1.1 Procurement planning will:

- A. Identify procurement methods and organizational responsibilities, including, for example, interfaces between design and procurement.
- B. Identify what is to be accomplished, who is to accomplish it, how it is to be accomplished, and when it is to be accomplished.
- C. Prior to the initiation of each individual activity identified, document the sequence of actions and milestones, indicating the completion of these activities and the preparation of applicable procedure.
- D. Provide for the integration of the following activities:
 - 1. Procurement document preparation, review, and change control according to the requirements of PRD-5075, “Procurement Document Control”
 - 2. Selection of procurement sources
 - 3. Proposal/bid evaluation and award
 - 4. Evaluation of supplier performance
 - 5. Verifications, including any hold and witness point notifications
 - 6. Control of nonconformances
 - 7. Corrective action
 - 8. Acceptance of the item or service

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9. Identification of QA records.

- E. Be accomplished as early as possible, and no later than the start of those procurement activities that are required to be controlled, to ensure interface compatibility and a uniform approach to the procurement process.
- F. Be performed relative to the level of importance, complexity, and quantity of the item or service being procured and the supplier's quality performance.
- G. Include participation of representatives from technical organizations and individuals that are trained and qualified in QA practices and concepts. Individuals performing the QA function shall be trained and qualified in accordance with PRD-5072, "Personnel Training and Qualification."

4.2.2 Source Evaluation and Selection

- 4.2.2.1 The organizational responsibilities of the purchaser for source evaluation and selection to supplier's capability shall be identified.

4.2.3 Proposal/Bid Evaluation

- 4.2.3.1 The proposal/bid evaluation process shall include a determination of the extent of conformance to the procurement document requirements. The proposal/bid evaluation will be performed by designated, technically qualified organizations including the QA organization.
- 4.2.3.2 The evaluation will include the following subjects, as applicable to the type of procurement:
 - A. Technical considerations
 - B. QAP requirements
 - C. Supplier personnel
 - D. Supplier production capability
 - E. Supplier past performance
 - F. Alternatives

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G. Exceptions.

4.2.3.3 Any deficiencies that would affect quality shall be corrected before starting work subject to the QARD.

4.2.3.4 Supplier QAPs will be accepted by the purchaser before the supplier starts work.

4.2.4 Supplier Performance Evaluation

4.2.4.1 The purchaser of items and services shall establish measures to interface with the supplier to verify performance as deemed necessary by the purchaser. The measures shall include:

- A. Establishing an understanding between the purchaser and supplier regarding the requirements and specifications identified in the procurement documents
- B. Requiring the supplier to identify planning techniques and processes to be used in fulfilling procurement document requirements
- C. Reviewing supplier documents that are prepared or processed during work performed to fulfill procurement document requirements
- D. Identifying and processing necessary change information
- E. Establishing the method to be used to document information exchanges between purchaser and supplier
- F. Establishing the extent of source surveillance and inspection.

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- 4.2.4.2 Annual performance evaluations shall be performed on each supplier to determine the need to schedule additional audits. This evaluation shall be documented and based on:
- A. Review of supplier-furnished documents and records (e.g., certificates of conformance, the American Society of Mechanical Engineers [ASME] Certificate of Authorization, ASME Quality System Certificate, nonconformances notices, and corrective actions)
 - B. Results of previous source verifications, audits, management assessments, and receiving inspections, including results of audits from other sources (e.g., other customers, ASME, Nuclear Regulatory Commission)
 - C. Operating experience of identical or similar products furnished by the same supplier.
- 4.2.4.3 The extent of verifications, including planning, shall be a function of the relative importance, complexity, and quantity of items or services being procured and the supplier's quality performance.
- 4.2.4.4 *Verification* (see def.) activities (e.g., check, inspect, audit, or witness supplier activities) shall be performed by personnel qualified in accordance with PRD-5072, "Personnel Training and Qualification."
- 4.2.4.5 Verifications shall be conducted as early as practical and shall not relieve the supplier of the responsibility for the verification of quality achievement.
- 4.2.4.6 Verifications shall include: (i) the use of audits to evaluate the supplier's performance and (ii) evaluation of purchaser's documentation to aid in the determination of the effectiveness of the supplier's QA program. This documentation shall include, as appropriate, documentation of the source surveillance and inspections, audits, receiving inspections, nonconformances, dispositions, waivers, and corrective actions.

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4.2.5 Post-installation Testing

- 4.2.5.1 The test will be in accordance with the requirements of PRD-5082, “Test Control.”
- 4.2.5.2 Records shall be established and maintained to indicate the performance of the following function:
- A. Supplier evaluation and selection
 - B. Acceptance of items or services
 - C. Supplier nonconformances to procurement document requirements, including their evaluation and disposition
 - D. Use and acceptance of *commercial grade items* (see def.).

4.2.6 American Society of Mechanical Engineers Section III Code Items

- 4.2.6.1 The following requirements relative to suppliers of ASME Section III Code items apply only to items designed and fabricated in accordance with ASME Section III, “Rules for Construction of Nuclear Power Plant Components,” and do not apply to non-code items that may be supplied by ASME Section III Code suppliers.
- 4.2.6.1.1 For the purchase of ASME Section III Code items, edition of ASME NQA-1 identified in NRC-endorsed or otherwise approved by the NRC versions of the Code may be used for construction of ASME Section III items when the referenced edition of the ASME NQA-1 is used in conjunction with other quality assurance, administrative, and reporting requirements contained in the code. Further, applicable requirements contained in the QARD or supplier’s QA program description document shall also be met in conjunction with the ASME Section III Code.

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- 4.2.6.1.2 When assessing whether a company has an acceptable QA program to enable it to become a supplier, credit may be taken for the fact that ASME has surveyed the ASME Code suppliers and issued a Certificate of Authorization or Quality System Certification of the appropriate scope and for the desired location, without performing any additional evaluation of the supplier's QA program.
- 4.2.6.1.3 Audits of ASME Code suppliers shall confirm that the suppliers are satisfactorily implementing:
- A. Their accredited ASME Code QA program
 - B. The technical and quality provisions specified in the purchase order
 - C. The applicable provisions of the QARD or principal contract's QA program description document
 - D. Applicable requirements contained in the regulations.

5. RECORDS

Records shall be established and maintained to indicate the performance of the following functions:

- A. Supplier evaluation and selection
- B. Acceptance of items or services
- C. Supplier nonconformances to procurement document requirements, including their evaluation and disposition.

All records generated by this document that are designated in implementing documents as *quality assurance records* (see def.) will be controlled in accordance with PRD-5088, "Quality Assurance Records."

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6. DEFINITIONS

Refer to LST-199, “Quality Assurance Program Requirements Document Definitions,” for the definitions of the following terms:

acceptance

acceptance criteria

approval

certificate of conformance

characteristics

commercial grade items

deviation

inspection

item

nonconformance

objective evidence

procurement document

purchaser

quality assurance record

receiving

repair

rework

service

supplier

use-as-is

verification

verify

waiver

7. REFERENCES

ASME NQA-1-2008 with Addenda through NQA-1a-2009, “Quality Assurance Requirements for Nuclear Facility Applications,” American Society of Mechanical Engineers

DOE O 414.1D, “Quality Assurance,” Department of Energy Order

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DOE/RW-0333P, *Quality Assurance Requirements and Description*, Rev. 20, Office of Civilian Radioactive Waste Management

FWD-7, “Foreword”

LST-199, “Quality Assurance Program Requirements Document Definitions”

PRD-5069, “Dedication of Purchased Commercial Grade Items and Services”

PRD-5072, “Personnel Training and Qualification”

PRD-5075, “Procurement Document Control”

PRD-5082, “Test Control”

PRD-5086, “Control of Nonconforming Items”

PRD-5088, “Quality Assurance Records”