PART III – LIST OF DOCUMENTS, EXHIBITS, AND OTHER ATTACHMENTS

SECTION J – LIST OF ATTACHMENTS

ATTACHMENT J-7 – QUALITY ASSURANCE PROJECT GRADED APPROACH

Contractor shall submit a QA Program compliant with EM Corporate QAP (EM-QA-001 Rev 1) using the graded approach as prescribed in the following criteria from DOE O 414.1D.

Graded Approach.

The process of ensuring that the levels of analyses, documentation, and actions used to comply with requirements are commensurate with:

1. the relative importance to safety, safeguards, and security;
2. the magnitude of any hazard involved;
3. the life-cycle stage of a facility or item;
4. the programmatic mission of a facility;
5. the particular characteristics of a facility or item;
6. the relative importance to radiological and nonradiological hazards; and,
7. any other relevant factors. (10 C.F.R. § 830.3)

QUALITY ASSURANCE CRITERIA

1. **Criterion 1— Management/Program**
   a. Establish an organizational structure, functional responsibilities, levels of authority, and interfaces for those managing, performing, and assessing the work.
   b. Establish management processes, including planning, scheduling, and providing resources for the work.

2. **Criterion 2— Management/Personnel Training and Qualification**
   a. Train and qualify personnel to be capable of performing their assigned work.
   b. Provide continuing training to personnel to maintain their job proficiency.
3. **Criterion 3—Management/Quality Improvement**
   a. Establish and implement processes to detect and prevent quality problems.
   b. Identify, control, and correct items, services, and processes that do not meet established requirements.
   c. Identify the causes of problems, and include prevention of recurrence as a part of corrective action planning.
   d. Review item characteristics, process implementation, and other quality related information to identify items, services, and processes needing improvement.

4. **Criterion 4—Management/Documents and Records**
   a. Prepare, review, approve, issue, use, and revise documents to prescribe processes, specify requirements, or establish design.
   b. Specify, prepare, review, approve, and maintain records.

5. **Criterion 5—Performance/Work Processes**
   a. Perform work consistent with technical standards, administrative controls, and other hazard controls adopted to meet regulatory or contract requirements using approved instructions, procedures, or other appropriate means.
   b. Identify and control items to ensure proper use.
   c. Maintain items to prevent damage, loss, or deterioration.
   d. Calibrate and maintain equipment used for process monitoring or data collection.

6. **Criterion 6—Performance/Design**
   a. Design items and processes using sound engineering/scientific principles and appropriate standards.
   b. Incorporate applicable requirements and design bases in design work and design changes.
   c. Identify and control design interfaces.
   d. Verify or validate the adequacy of design products using individuals or groups other than those who performed the work.
   e. Verify or validate work before approval and implementation of the design.

7. **Criterion 7—Performance/Procurement**
   a. Procure items and services that meet established requirements and perform as specified.
   b. Evaluate and select prospective suppliers on the basis of specified criteria.
c. Establish and implement processes to ensure that approved suppliers continue to provide acceptable items and services.

8. **Criterion 8 — Performance/Inspection and Acceptance Testing**
   
a. Inspect and test specified items, services, and processes using established acceptance and performance criteria.

b. Calibrate and maintain equipment used for inspections and tests.

9. **Criterion 9 — Assessment/Management Assessment.**
   
a. Ensure that managers assess their management processes and identify and correct problems that hinder the organization from achieving its objectives.

10. **Criterion 10 — Assessment/Independent Assessment.**
    
a. Plan and conduct independent assessments to measure item and service quality, to measure the adequacy of work performance, and to promote improvement.

b. Establish sufficient authority and freedom from line management for independent assessment teams.

c. Ensure persons who perform independent assessments are technically qualified and knowledgeable in the areas to be assessed.
SUSPECT/COUNTERFEIT ITEMS PREVENTION

This attachment provides information and/or requirements associated with DOE O 414.1D and is applicable to contracts in which the associated CRD (Attachment 1) is inserted.

1. **PURPOSE.** To set forth requirements for DOE and its contractor organizations, as part of their QAPs, to establish, document and implement effective controls and processes that will: (1) ensure items and services meet specified requirements; (2) prevent entry of Suspect/Counterfeit Items (S/CIs) into the DOE supply chain; and (3) ensure detection, control, reporting, and disposition of S/CIs.

2. **REQUIREMENTS.** The organization's QAP must:

   a. Include a S/CI oversight and prevention process commensurate with the facility/activity hazards and mission impact.

   b. Identify the position responsible for S/CI activities and for serving as a point of contact with the Office of Health, Safety, and Security.

   c. Provide for training and informing managers, supervisors, and workers on S/CI processes and controls (including prevention, detection, and disposition of S/CIs).

   d. Prevent introduction of S/CIs into DOE work by—

      (1) engineering involvement:

         (a) in the development of procurement specifications;

         (b) during inspection and testing; and

         (c) when maintaining, replacing, or modifying equipment;

      (2) identifying and placing technical and QA requirements in procurement specifications;

      (3) accepting only those items that comply with procurement specifications, consensus standards, and commonly accepted industry practices; and

      (4) inspecting inventory and storage areas to identify, control, and disposition for S/CIs.

   e. Include processes for inspection, identification, evaluation, and disposition of S/CIs that have been installed in safety applications and other applications that create potential hazards. Also address the use of supporting engineering