



Environmental Management Consolidated Business Center
Ash Fall Project

Procurement Document Control

Procedure: AFP-AP-11
Revision 0, 04/14/16

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Revision: 0
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Prepared By: Signature on File 04/11/16
Robert Hasson **Date**
Ash Fall Project QA Lead

Approved By: Signature on File 04/11/16
Kelly Ebert **Date**
ORP Ash Fall Project Engineer

Concurrence: Signature on File 04/11/16
Ken Armstrong **Date**
EMCBC Assistant Director,
Office of Technical Support and Asset Management

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1.0 PURPOSE

The purpose of this procedure is to establish the process and responsibilities for the procurement of any critical Ash Fall Project items and services.

2.0 SCOPE

The scope of this procedure includes the purchasing process for the Ash Fall Project with the intent of providing confidence that vendors will meet the requirements for incoming items and services that are critical to the quality of any data collection supporting the Office of River Protection (ORP) Program.

3.0 APPLICABILITY

This procedure applies to ORP, Department of Energy Environmental Management Consolidated Business Center (EMCBC) personnel, and contractors that prepare procurement documents for Ash Fall Project activities supporting the ORP Program.

4.0 REQUIREMENTS and REFERENCES

4.1 Requirements

4.1.1 EM-QA-001, *EM Quality Assurance Program (QAP)*

4.1.2 ASME NQA-1-2008/2009a, *Quality Assurance Requirements for Nuclear Facility Applications*

4.2 References

4.2.1 AFP-QAPP-01, *Quality Assurance Project Plan (QAPP)*

4.2.2 AFP-AP-15, *Supplier Control*

4.2.3 AFP-AP-16, *Receipt Inspection*

4.2.4 AFP-AP-20, *Quality Assurance Records*

5.0 DEFINITIONS and ACRONYMS

5.1 Procurement Document - The purchase requisition or purchase order document that specifies the technical product requirements to the vendor to ensure the quality of

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the purchased product with reference to applicable information such as standards or test methods.

- 5.2 Q-Material - Items that must be purchased under the EM-QA-001, *EM Quality Assurance Program (QAP)* and NQA-1 *Quality Assurance Requirements for Nuclear Facility Applications* requirements.
- 5.3 Requester - The Ash Fall Project Staff placing the request.
- 5.4 Service - Provided for the Ash Fall Project. The result generated by activities between the supplier and the customer, and by the supplier internal activities to meet customer needs.

6.0 RESPONSIBILITIES

6.1 Requestor (Ash Fall Project Staff)

6.1.1 Responsible for submitting the purchase order/purchase requisition requirements to the purchasing agent.

6.1.2 The Requester shall ensure that requirements for the purchase order/purchase requisition include:

6.1.2.1 A clear and specific description of the product ordered in the purchasing document including, as applicable:

- type, class, style, grade, or other precise identification
- title and other positive identification with applicable issue of specifications, drawings, process requirements, inspections instructions, and other relevant data, including requirements for approval or qualification of product, procedures, process equipment, and personnel
- title, number, and issue of the quality system standard that applies to the product

6.1.2.2 Review and approve purchasing documents for adequacy of specified requirements.

6.1.2.3 Any appropriate customer requests are reflected in specifications to the vendor.

6.1.2.4 Verifies purchase order/purchase requisition items received meet specifications prior to payment of purchase order.

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6.2 QA Lead

6.2.1 Responsible for reviewing any procurements for proper information.

6.2.2 Ensures the supplier has been approved according to Ash Fall Project procedure AFP-AP-15, *Supplier Control*.

6.2.3 Responsible for ensuring that a purchased item or service meets the requirements of AFP-AP-16, *Receipt Inspection*.

6.3 Purchasing Agent (For Ash Fall Project)

6.3.1 Responsible for the Purchase Order development, issuance, and contractual responsibility with the supplier.

6.3.2 Ensures the supplier has been approved according to Ash Fall Project procedure AFP-AP-15, *Supplier Control*.

6.4 ORP Engineering Lead

6.4.1 Approves the purchase of any items or services.

7.0 GENERAL INFORMATION

None.

8.0 PROCEDURE

8.1 The requestor of materials/equipment must first complete the purchase requisition/purchase order through the appropriate company procurement system. The information found on the procurement document should include:

- Company the purchase will be made from
- Item to be ordered, including item number, if applicable, and item description
- Quantity
- Price
- Project purchase is associated with (i.e., Ash Fall Project)
- Other pertinent information the supplier should be made aware of.

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- 8.2 The purchase order number unique identification number shall be designated on the procurement document. This purchase order identification number will allow traceability of the product from requisition through use.
- 8.3 The procurement document will then be sent via email by the purchasing agent to the ORP Engineering Lead, QA Lead, and the requestor for review and approval. The review and approval can be accomplished through email or signature on the procurement document.
- 8.4 If the purchase is for Q material, the purchasing agent and QA Lead must ensure the company has been approved according to Ash Fall Project procedure AFP-AP-15, *Supplier Control*.
- 8.5 If the purchase is for Q material, the following information must be included on the procurement document (unless not applicable) along with Attachment C clauses, as applicable:
- 8.5.1 Scope of Work
- Description of the tasks to be performed and information on the overall project.
- 8.5.2 Technical Requirements
- Describe the items or services to be furnished
 - Drawings and prints
 - Specifications, codes, standards, and regulations
 - Procedures and instructions
 - Test, inspection, and acceptance criteria
 - Includes catalog numbers and product data sheets.
- 8.5.3 QA Requirements
- Identification of QA Manual, revision/date
 - Require the supplier to pass down to subtier suppliers if subtier suppliers are allowed.
- 8.5.4 Right of Access
- Procurement documents shall provide for access to
 - The supplier and subtier supplier's facilities
 - Records for surveillance, inspection, or audit by the purchaser, its designated representative, and others authorized by the purchaser.

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8.5.5 Documentation Requirements

- Identify the documentation required to be submitted for information, review, or approval by the purchaser
- Time of submittal shall be established
- If the supplier is required to maintain specific records, the retention times and disposition requirements shall be prescribed.

8.5.6 Nonconformances

- Specify requirements for the reporting of nonconformances utilizing Attachment A, Contractor Nonconformance Request, Form 11-1 and Attachment B, Instructions for Filling out the Contractor Nonconformance Request.

8.5.7 Spare and Replacement Parts

- Specify the supplier's requirements to identify spare and replacement parts or assemblies.

8.6 If bids must be solicited, the bid evaluation must include an assessment of the supplier's capability to conform to the technical and QA requirements. Resolutions or commitments must be made to resolve unacceptable technical and quality assurance conditions resulting from the bid evaluation.

8.7 Revisions to procurement documents must undergo the same level of controls as utilized in the preparation of the original documents.

9.0 RECORDS MAINTENANCE

9.1 The forms and records generated through implementation of this procedure shall be prepared and submitted in accordance with AFP-AP-20, *Quality Assurance Records*.

9.2 The following are considered Lifetime QA Records:

- Subcontractor's quality capability (QA Program)
- Results of annual subcontractor review
- Purchase contracts and supporting data
- Approval of purchasing order.

10.0 FORMS USED

Form 11-1 – Contractor Nonconformance Request

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11.0 ATTACHMENTS

Attachment A – Contractor Nonconformance Request

Attachment B – Instructions for Filling out the Contractor Nonconformance Request

Attachment C – Example of Procurement Clauses

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Attachment A – Contractor Nonconformance Request

AFP-AP-11, Form 11-1 CONTRACTOR NONCONFORMANCE REQUEST		CNR Number: _____
To be completed by contractor (please type or print) the contractor accepts full responsibility for the accuracy and completeness of the information below:		
TO: (1)		FROM: (2)
Desert Research Institute 755 E. Flamingo Rd, Las Vegas, NV 89119	SUBCONTRACTOR – P.O./W.O.: (3)	
	DWG. NO. and REV.: (4)	PREVIOUS CNR'S: (7)
	NONCONFORMING ITEM(S): (5)	QUANTITY: (8)
	PRODUCT/SERVICE/PROCESS IDENTIFICATION: (6)	
DESCRIPTION OF; DEFICIENT CONDITION, SPECIFICATION REQUIREMENT NOT MET, OR INTERPRETATION REQUIRED: (9)		
SUPPLIERS REQUESTED DISPOSITION: (11)		CAUSE, CORRECTIVE ACTION BEING TAKEN, and EFFECTIVITY (10)
JUSTIFICATION: (11a)	VERIFIED BY: (10a)	
	_____	_____
	QA Lead	Date
	LIST ATTACHMENTS: (12)	
SIGNATURE OF CONTRACTOR'S AUTHORIZED REPRESENTATIVE: (13)		
TO BE COMPLETED BY ASH FALL PROJECT PERSONNEL		
DISPOSITION: (14) [] Approved as Requested [] Disapproved or [] As Below		TECHNICAL JUSTIFICATION: (14a)
THIS REQUEST AFFECTS INSPECTION OR INSTALLATION AT SITE: (15) [] Yes [] No		
DISPOSITION APPROVALS		
(16)		(16)
Project _____	Date _____	Procurement _____
_____	Date _____	Date _____
QA Lead _____	Date _____	Customer _____
_____	Date _____	Date _____
CLOSEOUT		
(17) REINSPECTION ACCEPTABLE [] CNR SUPERSEDED BY [] CORRECTIVE ACTION VERIFIED [] CLOSED OUT []		
QA Lead _____		Date _____
The issuance and acceptance of this request in no way limits or affects the warranty provisions of the order. This request shall not establish a precedent or obligation to accept similar conditions in the future.		CNR - _____

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Attachment B **Instructions for Filling out the Contractor Nonconformance Request**

Contractor completes Blocks 1 through 13 excluding 10a.

- (1) Name of Ash Fall Project (Requestor) Contract Specialist.
- (2) Contractor's name and address.
- (3) Contract Number, Subcontract Number, or Purchase Order Number.
- (4) Drawing number/revision that relates to the subject item.
- (5) Description of item(s).
- (6) Unique identification directly related to the item/service.
- (7) Indicate previous CNRs (if any).
- (8) State how many items.
- (9) Describe the reason for this CNR.
- (10) What is the root cause, corrective action being taken to correct the condition, date (effective) when corrective action will be completed.
- (11) State the requested disposition (i.e., accept as is, repair, etc.).
 - a. Give justification on why the requested disposition should be taken.
- (12) Identify any attachments to this CNR (i.e., drawing, spec., etc.).
- (13) Signature of Contractor's authorized representative and the date.

Ash Fall Project Personnel completes Blocks 10a through 17, excluding Customer signature/date in Block 16.

- (10a) Signature and date of QA Lead (from a source test/inspection/surveillance activity).
- (14) Completed by Ash Fall Project personnel.
- (15) Check the appropriate block.
- (16) Project
 - QA Lead
 - Procurement or
 - Subcontracts or
 - Ash Fall Project/Technical Staff
 - Customer Representative
- (17) CNR closeout made by the QA Lead.

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Attachment C Example of Procurement Clauses

Scope of Work: Provide DustTrak Nephelometer (model 8530) for use with the DRI PI-SWERL®.

- 1) The Contractor shall perform all work without subcontracting any services and deliver the items/services specified within any resulting contract in accordance with its Quality Management System Manual (Latest Revision). If the Contractor has revised its QA Program/Manual it shall submit the latest revision to Ash Fall Project Personnel (Requestor) for review and acceptance prior to work being performed. After award, all revisions to its previously approved QA Program/Manual shall be submitted to Ash Fall Project Personnel (Requestor). Contractor shall only implement such revisions for work performed under this contract with the prior written approval of the Ash Fall Project Personnel (Requestor) Contracts Representative.
- 2) The Contractor shall use an accredited calibration system that complies with NQA-1 2008/2009a or comparable standard. The calibration system of the Contractor shall be subject to audit by Ash Fall Project Personnel (Requestor) to the extent practicable at all times and places. The Contractor shall tender for acceptance only equipment that has been calibrated in accordance with its calibration system and has been found to conform to contract requirements.
- 3) The Contractor shall submit, prior to the award of the Purchase Order, a complete description of its calibrating system. The description may be extracted from the Contractor's documented quality program/system.
- 4) Contractor shall submit for DustTrak Nephelometer (model 8530), Calibration Report(s) and Report Addendum(s), if needed, containing the parameters calibrated, acceptance criteria, and the actual calibration results. Uncertainties shall be documented, if applicable. Contractor shall certify that the supplies tendered for acceptance have been calibrated using standards whose calibration is (1) traceable to the National Institute for Standards and Technology (or other nationally recognized standards acceptable to Ash Fall Project Personnel (Requestor), (2) derived from accepted values of natural physical constants, or (3) derived by the ratio type of self-calibration techniques.

Contractor shall submit for DustTrak Nephelometer (model 8530), the most current specification document as part of the calibration report.

Calibration standards shall be equal to or have a greater accuracy than the equipment being calibrated, unless limited by the state of art. Calibration standards with the same accuracy may be used if they can be shown to be adequate for the requirements, and the basis for acceptance is documented and authorized. Identify the reference standard ratio when possible.

When possible, identify the software, including version that was accepted as part of the calibration, and identify in the report any software revisions that were necessitated as part of the calibration, including an explanation of the change.

When this contract is for recalibration of Ash Fall Project Personnel (Requestor's) equipment, the Contractor shall provide a Calibration Report of the instrument upon receipt, otherwise known as the "as-found" condition. Any "out-of-tolerance" parameters shall be recorded and Ash Fall Project Personnel (Requestor) shall be notified if instrument(s) are found out of calibration.

Additionally, the documentation must include identification of the laboratory equipment/standards used for calibration and reference to the calibration procedure number and revision or date implemented.

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- 5) Unless otherwise specified, Contractor shall mail all documents required by this contract to Ash Fall Project Personnel (Requestor). A document is not delivered until it is received by the Ash Fall Project Personnel (Requestor). Ash Fall Project Personnel (Requestor) shall have the right to reject, as not in conformity with the requirements of this contract, any supplies or services for which all required reports, procedures, or certifications are not delivered. Contractor's failure to deliver such documents, or delivery deficient documents, shall be deemed a failure to make delivery within the meaning of the Default clause of this contract.
- 6) Each report and/or certification shall be legible, reproducible, and contain, in addition to any other requirements as specified by this contract, the signature, title, and date of the person signing who is responsible as described in the contractor's QA program. When possible, include reference to the contract number/purchase order reference. By submission of a report, Contractor expressly represents that the contents are accurate and complete and that all inspections, tests, analyses, processes, calibrations, and other operations required by this contract have been performed. Submission of a certification constitutes Contractor's express warranty that the identified supplies conform to all of the requirements of this contract. The Contractor shall, prior to or concurrently with each shipment of supplies, mail to Ash Fall Project Personnel (Requestor) one (1) copy of all required reports and certifications.
- 7) The Contractor may request approval to tender for acceptance (1) nonconforming supplies or (2) services at variance with the requirements of this contract. Such request shall be submitted utilizing the Ash Fall Project Personnel (Requestor) form 11-1 entitled "Contractor Nonconformance Report" (CNCR). A CNCR may be submitted when: (I) a technical, QA/QC, regulatory, or material requirement is violated, (2) a requirement in a Contractor submittal, which has been approved by Ash Fall Project Personnel (Requestor), is violated, (3) a nonconformance cannot be corrected by continuation of the original manufacturing process or by rework, or (4) a nonconformance can be repaired such that form, fit, function, or safety is not impaired. Ash Fall Project Personnel (Requestor's) approval of Contractor's request shall be evidenced by signature of the Contracts Representative in Block 16, or signature of the Contracts Representative in Block 16 along with a modification to the contract signed by both parties if such approval results in a change to the contract requirements. A "Contractor Nonconformance Report" form is attached to the end of these QA clauses.
- 8) The Purchaser reserves the right of a Purchaser or designated representative to enter the premises of a Supplier for the purpose of inspection, surveillance, or quality assurance audit.

Include Attachment B and 'CNR Form 11-1' with Purchase Order.

<<This clause will not be transferred to the PO.>> <<The Ash Fall Project Personnel (Requestor's) Contract Specialist shall obtain verification and document the contract file from the potential Supplier that the Supplier's QA Program/Manual Revision is the same as listed in Clause 1 (above). If the QA Program/Manual has been revised, request a copy for review by the Ash Fall Project Quality Assurance Lead. Approval by the Ash Fall Project QA Lead per AFP-AP-11, *Procurement Document Control* is required prior to award of contract.>>

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Form 12-1 – Record of Revision

DOCUMENT: AFP-AP-11, *Procurement Document Control*

Revision Number	Description of Changes	Revision on Pages	Effective Date
0	Initial Issue	All	04/14/2016