



Environmental Management Consolidated Business Center  
Ash Fall Project

Supplier Control

Procedure: AFP-AP-15  
Revision 0, 03/25/16

Supplier Control

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**Revision: 0**  
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## 1.0 PURPOSE

The purpose of this procedure is to establish the process and responsibilities for evaluating suppliers and approving them for use by the Department of Energy Environmental Management Consolidated Business Center (EMCBC) Ash Fall Project.

## 2.0 SCOPE

The scope of this procedure includes the evaluation of all suppliers that will provide products and services in support of the Department of Energy EMCBC Ash Fall Project work activities.

## 3.0 APPLICABILITY

This procedure applies to EMCBC personnel and contractors that participate in the evaluation and approval of suppliers for the Ash Fall Project supporting the Office of River Protection (ORP).

## 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-20, *Quality Assurance Records*

## 5.0 DEFINITIONS and ACRONYMS

5.1 Annual Evaluation – A documented review of a supplier’s performance once each calendar year not to exceed 15 months.

5.2 Qualified Supplier – A supplier that has been evaluated and determined to be capable of providing specific products or services in accordance with procurement document requirements.

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- 5.3 Qualified Suppliers List – A list of suppliers that have been evaluated and are qualified to supply specific products or services to the EMCBC Ash Fall Project.
- 5.4 Supplier Audit – An onsite evaluation of a supplier to verify the performance of the supplier in meeting the requirements of the procurement documents and the purchaser approved QA program.
- 5.5 Supplier Evaluation – A documented evaluation that determines if the supplier is qualified to provide products or services in accordance with procurement document requirements.

## 6.0 RESPONSIBILITIES

### 6.1 ORP Lead Engineer

- 6.1.1 Determines when a supplier is needed and notifies the QA Lead.
- 6.1.2 Notifies suppliers of supplier evaluation results.

### 6.2 QA Lead

- 6.2.1 Performs the supplier evaluations and documents the results.

## 7.0 GENERAL INFORMATION

- 7.1 None.

## 8.0 PROCEDURE

### 8.1 Planning a Supplier Evaluation

- 8.1.1 The ORP Lead Engineer notifies the QA Lead when there is a need for a supplier to be qualified.
- 8.1.2 The QA Lead:
  - A. Determines if a Third-Party audit can be utilized in accordance with Section 8.8 of this procedure.
  - B. Contacts the supplier to notify them of the intent to perform a supplier evaluation.

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C. Obtains a copy of the supplier's quality assurance (QA) program.

## 8.2 Conducting a Supplier Evaluation

8.2.1 The QA Lead performs a review of the supplier's QA program to ensure it complies with the EMCBC Ash Fall Project QA program.

8.2.2 The QA Lead documents the results of the evaluation on Part 2 of Attachment A, Supplier Evaluation Report.

8.2.3 The QA Lead determines if a supplier history evaluation or a supplier audit is also necessary, and performs them in accordance with Section 8.3 or Section 8.4, respectively.

8.2.4 If a supplier history evaluation or a supplier audit is not necessary, the QA Lead proceeds to Section 8.5 to complete the report.

## 8.3 Supplier History Evaluation

8.3.1 The QA Lead evaluates the history of the supplier for providing identical or similar products by reviewing and taking into consideration the following, as applicable.

A. Procurement documents/receiving reports

B. Corrective action reports and nonconformance reports

C. Audit, surveillance, and inspection reports

D. Previous periodic audits

E. Type of QA program

F. ORP Lead Engineer input

G. Supplier correspondence

H. Products and services received

I. Qualification results from other companies.

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8.3.2 The QA Lead documents the supplier history on Part 3 of the Supplier Evaluation Report and proceeds to Section 8.5 to complete the report.

8.4 Supplier Audit:

8.4.1 The QA Lead:

- A. Reviews related procurement documents and coordinates with the ORP Lead Engineer to establish the scope of the audit.
- B. Coordinates with the supplier to establish the schedule for the audit.
- C. Develops a checklist based on the scope of the audit and applicable requirements.
- D. Develops a supplier notification letter and an audit plan that includes the following:
  - Audit scope
  - Quality requirements for performing the audit
  - Audit team members
  - Work activities being surveyed/audited
  - Applicable supplier quality documents
  - Date(s) of the audit.
- E. Signs the plan, and forwards the notification letter and plan to the ORP Lead Engineer.

8.4.2 The ORP Lead Engineer reviews and approves the notification letter, and sends the notification letter and plan to the supplier.

8.4.3 The QA Lead:

- A. Conducts the audit entrance meeting with the appropriate personnel of the supplier to discuss scope, purpose, establish contacts and to identify required resources.
- B. Completes the audit by observing work activities, conducting personnel interviews, and completing document reviews.
- C. Reports any conditions adverse to quality to the supplier's management.

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D. Conducts the audit exit meeting with the appropriate personnel of the supplier to discuss the results, any problems/conditions adverse to quality identified, or recommendations for improvement.

E. Prepares the report in accordance with Section 8.5.

## 8.5 Audit Report

### 8.5.1 The QA Lead:

A. Completes Part 1 of the Supplier Evaluation Report (SER).

B. Prepares a transmittal letter and includes a timeframe for responding to issues, if applicable.

C. Signs the report and forwards the transmittal letter and report to the ORP Lead Engineer.

8.5.2 The ORP Lead Engineer reviews and approves the transmittal letter, and sends the transmittal letter and report to the supplier.

## 8.6 Qualified Suppliers List (QSL)

8.6.1 The QA Lead maintains a list of qualified suppliers.

8.6.2 The QA Lead updates the QSL to add new suppliers, remove suppliers, place restrictions on suppliers, and to indicate when the annual and triennial reviews are due.

## 8.7 Annual Evaluation

8.7.1 On an annual basis, the ORP Lead Engineer determines if the supplier is still needed.

8.7.2 If the supplier is still needed, the ORP Lead Engineer requests the QA Lead to perform an evaluation in accordance with Step 8.7.4.

8.7.3 If the supplier is no longer needed, the ORP Lead Engineer requests that the QA Lead remove them from the Qualified Suppliers List.

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8.7.4 If requested, the QA Lead performs an annual evaluation of the supplier as follows.

8.7.4.1 Evaluate the following documentation:

- Procurement documents
- Receiving documents
- Condition reports and trend reports.

8.7.4.2 Discuss the following with the supplier's management:

- Any organization or QA program changes
- Their internal audits, surveillances and assessments
- Qualification results from other companies.

8.7.4.3 Document the results on Part 3 of the SER.

8.7.5 If the results of the annual evaluation are unsatisfactory, the QA Lead schedules an audit of the supplier, places a restriction on the supplier, or removes the supplier from the QSL.

8.7.6 The QA Lead completes the report in accordance with Section 8.5.

8.8 Third-Party Audit

8.8.1 The Ash Fall Project QA Lead may choose to utilize third party audits to qualify suppliers of services to the Ash Fall Project. (Examples, JSEP, MASL, etc.).

8.8.2 When a third party audit is used to qualify a supplier of services, the Ash Fall Project QA Lead shall obtain a copy of the audit package from the third party for the Ash Fall Project records. The records shall include, as a minimum:

- Organization
- Lead Auditor qualification/certification
- Scope of item/service produced
- Copy of the 3<sup>rd</sup> party's audit procedure
- Audit checklist (completed) for the audit
- Audit Report, including cover letter and scope (items, services, QA program, criteria)
- Audit Issues (i.e. Results, Findings, Corrective Action Documentation and Correspondence)
- Review by QA

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- Supporting records (as available) i.e. audit team qualifications, audit plan
- Ash Fall Project QA Lead's report review of 3<sup>rd</sup> party audit which includes: report and acceptance.

8.8.3 The Ash Fall Project QA Lead shall document the third party review and include the documentation in the Ash Fall Project audit file.

## 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:

- Notification letters
- Plan
- Transmittal letters
- SER
- Third-party documentation

## 10.0 FORMS USED

Form 15-1 – Supplier Evaluation Report

## 11.0 ATTACHMENTS

Attachment A – Supplier Evaluation Report

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## Attachment A – Supplier Evaluation Report

<b>Ash Fall Project AFP-AP-15, Form 15-1</b>	<b>Supplier Evaluation Report</b>	Page    of
Part 1		
Purpose:		
<input type="checkbox"/> Quality Program Review <input type="checkbox"/> Audit <input type="checkbox"/> Removal of Supplier <input type="checkbox"/> Supplier History Review <input type="checkbox"/> Annual Evaluation		
Supplier Name and Address:		Contact Name and Phone Number:
Products/Services:		QA Program (Title and Revision/Date):
Summary of Results (include any issues identified):		
Status:		
<input type="checkbox"/> Qualified <input type="checkbox"/> Qualified with Restrictions <input type="checkbox"/> Not Qualified		
QA Lead (Name, Signature, Date):		
ORP Lead Engineer (Name, Signature, Date):		

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<b>Ash Fall Project AFP-AP-15, Form 15-1</b>	<b>Supplier Evaluation Report</b>				Page    of
<b>Part 2 – QA Program Evaluation</b>					
Supplier Name:			Evaluation Date:		
QA Program Element	QAPP Section	Sat	Unsat	N/A	Supplier QA Manual Section
1 – Organization					
2 – QA Program					
3 – Design Control					
4 – Procurement Document Control					
5 – Implementing Documents					
6 – Document Control					
7 – Control of Purchased Items					
8 – Identification & Control of Items					
9 – Control of Special Processes					
10 – Inspection					
11 – Test Control					
12 – Control of M&TE					
13 – Handling, Storage & Shipping					
14 – Inspection, Test & Operating Status					
15 – Nonconformances					
16 – Corrective Action					
17 – QA Records					
18 – Audits					

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<b>Ash Fall Project AFP-AP-15, Form 15-1</b>	<b>Supplier Evaluation Report</b>	Page    of
<b>Part 3 – History/Annual Evaluation</b>		
Supplier Name:		Evaluation Date:
<b>Criteria</b>	<b>Sat</b>	<b>Unsat</b>
<b>N/A</b>		
Procurement Documents/Receiving Reports		
Corrective Action Reports/Nonconformance Reports		
Audits/Inspections/Surveillances		
Previous Periodic Audits		
QA Program		
ORP Lead Engineer Input		
Supplier Correspondence		
Products/Services Received		
Qualification Results from Other Companies		
Evaluation Results/Comments:		

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**Form 12-1 – Record of Revision**

DOCUMENT: AFP-AP-15, *Supplier Control*

Revision Number	Description of Changes	Revision on Pages	Effective Date
0	Initial Issue	All	03/25/2016