

YUCCA MOUNTAIN PROJECT
DOCUMENT TRANSMITTAL/ACKNOWLEDGMENT RECORD

Y-AD-075
9/88

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COPY NO.: SEE DISTRIBUTION LIST

DOCUMENT TITLE: QUALITY ASSURANCE PROGRAM PLAN & QUALITY MANAGEMENT PROCEDURES

DOCUMENT REVISION: N/A DOCUMENT IDENTIFICATION NUMBER: WMPO/88-1

DIRECTIONS

REPLACE - Table of Contents, dated 10/20/89 with Table of Contents dated 11/27/89.

INSERT - ICN #1 to QMP-07-03 (Rev.0), directly in front of QMP-07-03 in manual.

INSERT - QMP-7-04, Supplier Evaluation/Qualified Suppliers List, (Rev.0), dated 11/29/89, directly behind QMP-07-03.

- Destroy or mark obsolete material "Superseded"
- Return obsolete material with this transmittal record
- New issue - no obsolete material

SIGN/DATE BELOW TO CONFIRM THAT THE ABOVE DIRECTIONS HAVE BEEN FOLLOWED, AND RETURN THIS TRANSMITTAL RECORD, WITH THE OBSOLETE MATERIAL, AS APPROPRIATE, TO THE ABOVE ADDRESS BY: 12/13/89

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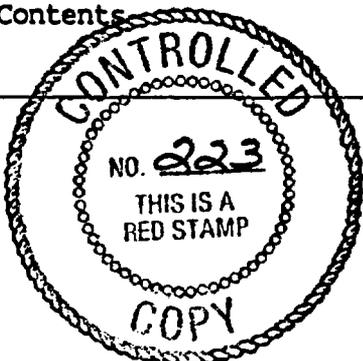
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QMP No.	ICN No.	QMP Title	Revision No.
QMP-01-01	1		In Preparation
QMP-01-01		WMPO Organization	1 (5/27/88)
QMP-01-02		Stop Work	0 (4/11/88)
QMP-02-01	1		In Preparation
QMP-02-01		Qualification, Proficiency, Indoctrination, and Training of Waste Management Project Personnel	0 (9/2/88)
QMP-02-02	1		(9/7/89)
QMP-02-02	2		(10/16/89)
QMP-02-02		Qualification of Quality Assurance Program Audit Personnel	1 (2/22/88)
QMP-02-03	1		(8/4/89)
QMP-02-03		Quality Assurance Management Assessment	0 (7/12/89)
QMP-02-04		Qualification, Proficiency, Indoctrination, and Training of DOE Yucca Mountain Project Office Personnel	In Preparation
QMP-02-08	1		(2/7/89)
QMP-02-08		Technical Assessment Review	0 (8/8/88)
QMP-02-09	1		In Preparation
QMP-02-09		Development and Conduct of Training	0 (3/31/89)
QMP-03-01		Peer Reviews	1 (1/11/89)
QMP-03-02		Control of Scientific Investigations	In Preparation
QMP-03-03		Software Classification, Installation, and Use	In Preparation
QMP-03-04		Software Development and Maintenance	In Preparation
QMP-03-05		Software Verification and Validation	In Preparation
QMP-03-06		Software Configuration Management System	In Preparation
QMP-03-07		Software Documentation Control and Review	In Preparation



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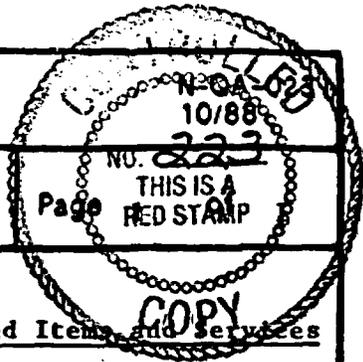
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QMP No.	ICN No.	QMP Title	Revision No.
QMP-03-08		Qualification and Acquisition of Existing Software	In Preparation
QMP-04-01	1		(7/14/89)
QMP-04-01		Procurement Document Control	0 (4/11/88)
QMP-04-02		Procurement Document Control (Project Office Initiated)	In Preparation
QMP-05-01		Preparation and Control of Quality Management Procedures	1 (4/11/88)
QMP-05-02	1		(8/18/89)
QMP-05-02		Preparation and Control of Branch Technical Procedures	0 (5/27/88)
QMP-05-03		Preparation and Control of the NNWSI Project QAP and the WMPO QAPP	0 (5/27/88)
QMP-06-02	1		(4/2/89)
QMP-06-02	2		In Preparation
QMP-06-02		Document Control	1 (12/1/88)
QMP-06-03	1		(5/5/88)
QMP-06-03	2		(8/1/88)
QMP-06-03	3		In Preparation
QMP-06-03	4		In Preparation
QMP-06-03		Document Review/Acceptance/Approval	1 (2/22/88)
QMP-07-03	1		(11/29/89)
QMP-07-03		Control of Purchased Items and Services	0 (4/11/88)
QMP-07-04		Supplier Evaluation/Qualified Suppliers List	0 (11/29/89)
QMP-15-01		Control of Nonconformances	1 (5/27/88)
QMP-16-01	1		In Preparation
QMP-16-01		Corrective Action	0 (12/10/84)
QMP-16-02	1		(6/23/89)

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QMP No.	ICN No.	QMP Title	Revision No.
QMP-16-02		Trend Analysis	2 (5/27/88)
QMP-16-03		Standard Deficiency Reporting System	1 (6/5/89)
QMP-17-01		Records Management: Record Source Implementation	1 (10/30/89)
QMP-18-01		Audit System for the Waste Management Project Office	3 (10/3/88)
QMP-18-02	1		(2/6/89)
QMP-18-02	2		(4/2/89)
QMP-18-02	3		(4/20/89)
QMP-18-02	4		(4/20/89)
QMP-18-02	5		(8/18/89)
QMP-18-02		Surveillances	1 (5/27/88)

INTERIM CHANGE NOTICE



ICN Number:

1

Effective Date:

11/29/89

Applies to OMP:

Number 07-03

Rev. 0

Title Control of Purchased Items and Services

REQUIRED CHANGES:

OMP SECTION

CHANGE TO

Paragraph 5.3.1

Change the words "Qualified Suppliers" to "Potential suppliers".

Paragraphs:

4.2; 5.2.3 (2 places); 8.0

Change "WMPO Approved Suppliers List" to "Qualified Suppliers List".

Paragraph 5.2.3

Last sentence: Change "supplier approval" to "Supplier qualification".

APPROVALS

Project Manager, T&MSS

W Macnab

Date Nov. 21, 1989

Project Quality Manager

James Blaylock

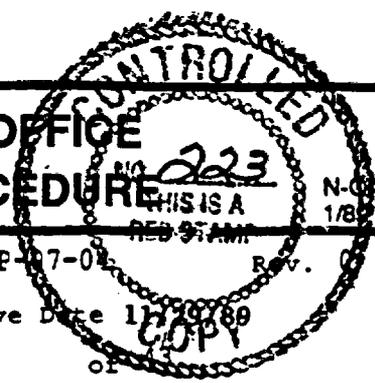
Date Nov 22, 1989

Project Manager

Carl J. [Signature]

Date 11/22/89

YUCCA MOUNTAIN PROJECT OFFICE QUALITY MANAGEMENT PROCEDURE



Title
SUPPLIER EVALUATION/QUALIFIED SUPPLIERS LIST

No. QMP-17-01 Rev.
Effective Date 11/22/89
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1.0 PURPOSE AND SCOPE

This procedure establishes the requirements, responsibilities and methods for evaluating suppliers and maintaining the Yucca Mountain Project Office Qualified Suppliers List (QSL).

2.0 APPLICABILITY

2.1 This procedure applies to the evaluation and selection of suppliers that provide items and services purchased in accordance with the requirements of the Yucca Mountain Project Office, Quality Assurance Plan NNWSI/88-9, Section VII, Control of Project Office Purchased Items and Services.

2.2 This procedure applies to Project Office Staff involved in supplier evaluations activities associated with Quality Assurance (QA) Level 1 or 2 applications.

2.3 The National Institute of Standards and Technology (NIST) is exempt from the requirements of this procedure.

3.0 DEFINITIONS

3.1 COMMERCIAL GRADE PRODUCT

A Suppliers product as specified in their specification or catalog, identified by a unique identification number.

3.2 FACILITY SURVEY

An activity which involves a direct evaluation of the supplier's facility to determine the capabilities of a supplier to satisfy the purchased document, quality requirements for a defined or anticipated scope of work, by evaluating the supplier's facilities, personnel and quality assurance program implementation, thereby ensuring only qualified suppliers are selected and utilized.

3.3 ITEM

An all-inclusive term used in place of any of the following: appurtenance, assembly, component, equipment, material, module, part, structure, subassembly, system, subsystem, unit, data, or prototype hardware. This term includes magnetic media, and other materials that retain or support data.

APPROVED BY

Project Manager, T&MS
W. Macnab
Date Nov. 20, 1989

Project Quality Manager
James Blaylock
Date Nov 23 1989

Project Manager
[Signature]
Date 11/22/89

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3.4 QUALIFIED SUPPLIER

A supplier that has been evaluated and determined to be capable of fulfilling the quality and technical requirements applicable to the actual or anticipated scope of work, as delineated in the procurement document.

3.5 QUALIFIED SUPPLIER LIST (QSL)

A list of qualified suppliers who have been evaluated to determine their capability to supply items and services, and have been categorized as "Qualified."

3.6 SERVICE

The performance by a supplier of activities such as design, design review, nondestructive examination, inspection, analyses, audit, testing, calibration, surveillance, training and etc.

3.7 SUPPLIER

Any individual or organization under contract for furnishing items or services. This includes the terms vendor, consultant, seller, contractor, subcontractor, fabricator and their sub-tier level suppliers where appropriate.

4.0 RESPONSIBILITIES

4.1 DIRECTOR QUALITY ASSURANCE

The Director, Quality Assurance shall have overall responsibility for establishing and implementation of the supplier evaluation program as described in this procedure, and:

- 4.2.1 Ensuring through evaluations, that the supplier is capable of complying with quality requirements in accordance with the contractual documents.
- 4.2.2 Approving supplier evaluations.
- 4.2.3 Approving and Maintaining the Qualified Suppliers List (QSL), including all revisions and change notices thereto.
- 4.2.4 Approving QSL Deletion Notices.
- 4.2.5 Ensuring that Surveillances and audits are performed in accordance with established procedures, once a supplier has been placed on the QSL.

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4.3 PROJECT OFFICE QUALITY ASSURANCE

Project Office Quality Assurance shall be responsible for:

- 4.3.1 Conducting Evaluations of suppliers, in accordance with the requirements of this procedure.
- 4.3.2 Maintaining the Qualified Suppliers List (QSL) in accordance with the requirements of this procedure.
- 4.3.3 Transmitting the approved QSL, including all revisions, change notices and deletions thereto to Document Control for controlled distribution in accordance with QMP-06-02 Document Control.
- 4.3.4 Performing Supplier Surveillance and audits in accordance with approved procedures.

4.4 PURCHASING

Purchasing shall be responsible for:

- 4.4.1 Identification of potential suppliers, using input from the requester, trade publications, registers, referrals and other sources of information.
- 4.4.2 Preparing Request for Quotations (RFQ) and Request for Proposals (RFP) in accordance with QMP-07-03.
- 4.4.3 Formally requesting evaluation of suppliers to be performed by Quality Assurance.

4.5 TECHNICAL SPECIALIST

Technical Specialist shall be responsible for planning and conducting the technical phase of facility survey (when assigned or requested by the procuring organization). The Technical Evaluation is performed under the direction of Project Office QA and is incorporated into the QA evaluation.

5.0 PROCEDURE

5.1 EVALUATION OF SUPPLIERS

5.1.1 General Requirements

5.1.1.1 The evaluation of suppliers for addition to the QSL shall be conducted in accordance with one, or a combination of, the following: quality records review, supplier history review, or a facility survey.

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5.1.1.2 Suppliers may be placed, or the supplier's scope of work may be changed, on the Qualified Suppliers List, through an evaluation of the supplier's capability to implement the quality elements.

1. Evaluations shall be conducted by QA and documented on the Supplier's Evaluation Report, Figure 1. The results of the evaluation shall be submitted to the Director, Quality Assurance for approval.
2. Evaluation of Commercial Grade Suppliers shall be performed specific to the product and associated quality elements as specified in accordance with QMP-04-01 on the Request for Quote (RFQ), Request for Proposal (RFP), Purchase Requisition (PR) or Purchase Order (PO).

5.1.1.3 Deficiencies identified during Supplier Evaluation activities shall be resolved with the supplier or acceptable corrective action obtained from the supplier prior to approving the supplier for placement on the QSL. Justification for approving the supplier prior to the implementation of corrective action shall be documented on the Supplier Evaluation Sheet. For commercial grade suppliers, alternate acceptable methods may be specified to compensate for supplier program deficiencies. The alternate methods (i.e., testing after receipt, calibration by an approved source, etc.) shall be documented on the Supplier Evaluation Sheet.

5.1.1.4 Based upon the evaluation results, the supplier may be categorized as "Qualified" or "Qualified with Restrictions". The "Qualified" supplier shall be placed on the QSL.

5.1.1.5 For those suppliers "Qualified with restrictions," the restriction shall be noted on the QSL in the remarks column. A Supplier's committed corrective actions shall either be verified prior to placement of the purchase document or concurrently by requiring source surveillance in the purchase document to verify implementation of the commitment actions.

5.1.1.6 ASME Code Certificate Holders/National Board Certificate Holders, suppliers holding a current Certification of Authorization (C of A), or Quality System Certificate (QSC) may, at the discretion QA, be placed on the QSL, using the certificate as the basis for approval provided the certificate has not expired and the item or service to be provided is within the scope of the Suppliers Certificate.

5.1.1.7 Non-ASME Distributors are listed on an appendix to the QSL and are exempt from the requirements of this procedure. Items received from distributors are receipt inspected, and as appropriate functionally tested, calibrated and etc. after receipt.

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5.2 QUALITY RECORDS REVIEW

5.2.1 The supplier's quality records supported by qualitative and quantitative information may be objectively evaluated. This shall include the review and evaluation of the supplier's Quality Assurance Program Manual, procedures, or other similar documents, including subsequent revisions. The Supplier Quality Program Review checklist, Figure 2, shall be used for this review/evaluation.

1. Comments generated during the review/evaluation shall be transmitted to the supplier utilizing the Quality Assurance Documentation Approval Sheet, Figure 3.
2. Comments on Commercial Grade Supply Programs may be resolved by employing other appropriate acceptance methods, such as, Source Surveillance, Independent Analysis, Receipt Inspections, Functional Testing, etc.
3. Comments which are not resolved within 30 days which could jeopardize quality may be cause for the supplier to be removed from the QSL.

5.3 SUPPLIER HISTORY REVIEW

Supplier history reviews/evaluations may be conducted by QA based upon documented information relative to the supplier's past performance in providing the same or similar items or services.

1. This evaluation shall include the following sources of input information:
 - a. QA records that have accumulated in connection with previous procurement actions and item/service operating experience. These records include but are not limited to Purchase Orders, Supplier Nonconformance Documents, Source Verification, Audit Reports and Receipt Inspection, when available, or information from other purchasers relative to supplier's performance in supplying the same or similar items or services.
 - b. NRC inspection results and supplier background information as documented in the current NUREG-0040.
 - c. NRC Information Notices and Bulletins.

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5.4 FACILITY SURVEY

5.4.1 Facility surveys may be conducted by QA when determined to be necessary. The necessity to conduct a facility survey shall take into consideration, but need not be limited to the following conditions:

1. Evaluation of the complexity, criticality, application, inherent characteristics, or similar considerations reveals that special attention to the quality program implementation should be taken.
2. Documented evidence does not exist to confirm that the supplier has successfully implemented his quality program.
3. The results of the quality records and Supplier History reviews do not provide sufficient evidence that the supplier's quality program complies with the quality requirements.
4. Alternate verification methods such as product testing or analysis, source surveillance are not practical.

5.4.2 Supplier Scheduling and Notification

1. QA shall coordinate through the Purchasing Agent to notify potential suppliers of intended surveys. Mutually acceptable date(s) shall be established and the survey scheduled. The schedule shall allow sufficient time for preparation and allocation of survey duration to investigate all factors influencing quality.

5.4.3 Facility Survey Planning

1. The responsible QA evaluator shall initiate a Survey Checklist, Figure 2. The checklist shall address the appropriate quality element requirements of the procurement document (QMP-04-01). The checklist may be supplemented with additional characteristics, as necessary, to adequately evaluate a given supplier.
2. When necessary the checklist will be supplemented by a list of items prepared by the technical specialist, that address technical requirements of the procurement document.

5.4.4 Conduct of the Facility Survey

1. A pre-survey conference shall be conducted at the suppliers facility. This conference shall be attended by members of the

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survey team and the appropriate supplier management representatives. The pre-survey conference should address:

- a. Introduction of team members and supplier representatives.
 - b. Purpose and Scope of the survey.
 - c. Objective.
 - d. Topics/area to be surveyed.
2. A Tour of the facility is performed, to observe the operations and implementation of the suppliers program and to determine their capabilities. The checklist per section 5.4.3 shall be completed. Objective evidence shall be examined for compliance with the checklist requirements to the depth necessary to determine if the Quality program elements are adequate for effective control and are being implemented effectively. The results shall be documented on the checklist.
 3. Upon completion of the survey, an exit conference shall be used to summarize the survey results and indicate the areas of supplier quality and/or technical program that have been determined to be acceptable or unsatisfactory. This conference will also afford the suppliers management the opportunity to initiate corrective action or provide additional information/documentation to resolve the apparent deficiency.

5.5 REPORTING

5.5.1 A Supplier Evaluation Report, Figure 1, shall be completed by the QA evaluator. This report shall include the results of any technical specialist evaluations. The following shall be addressed:

1. The evaluator shall review the supplier survey checklists to determine the status of each item under evaluation. The following ratings shall be applied: Qualified, Qualified with Restrictions, Unsatisfactory, or Not Applicable.
2. For each Qualified with Restrictions or Unsatisfactory rating, an explanatory statement shall be given that delineates the restriction bounds or explains the Unsatisfactory rating.
3. The overall supplier status shall be indicated. The following status indicators shall be applied: Qualified, Qualified with Restrictions, or Unsatisfactory. All restrictions shall be fully detailed. A complete explanation shall be provided for suppliers

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not placed on the QSL. A description of the two status indicators is as follows:

- a. Qualified. Selection of this disposition indicates that the supplier has met necessary requirements consistent with the highest quality level for which the supplier is approved.
- b. Qualified with Restrictions. A prospective supplier may be Approved with Restrictions if the supplier is capable of performing specific operations for which the quality requirements are readily measured. This disposition may also be used to identify specific areas where an otherwise acceptable supplier does not have the capability to meet specific requirements. Placement of selective, specially controlled orders with a suppliers Approved with Restrictions may be undertaken, only with specific direction and approval of the QA and Technical Managers. In such instances, the capabilities of the supplier shall be combined with appropriate Project office personnel and/or equipment. Such supportive actions shall be planned and fully defined in the purchase order to the respective supplier.

5.5.2 The Suppliers Evaluation Report shall be signed and dated by the persons who perform the Supplier Evaluation and approved by the Director Quality Assurance.

5.6 SUPPLIER NOTIFICATION

A letter shall be prepared and issued by QA within 30 days from completion of the supplier evaluation to inform the supplier of the results. When the evaluation results are Qualified with Restriction or result in not being Qualified, the restrictions or unsatisfactory area requiring program corrective actions shall be delineated in the letter.

5.7 QSL ADMINISTRATION

5.7.1 Subsequent to the supplier evaluation and approval of the evaluation by the QA, suppliers deemed to be acceptable shall be categorized as "Qualified"/"Qualified with Restrictions" and placed on the QSL, Figure 4.

5.7.2 QSL Content

1. The QSL shall contain the following information, as a minimum:
 - a. Supplier Name/Specific Location.
 - b. Identification of the type of quality program implemented by the supplier based upon supplier evaluation(s).

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- c. Product/service scope for which the supplier has been approved.
- d. The date of the next required evaluation. Each listed supplier shall reflect a date (yr/mo) which defines when the next evaluation is due. This activity shall be performed annually.
- e. The next Required Audit date. "N/A" entered in this column means that alternate measures will be used to qualify the received items. These measures include, but are not limited to, source surveillances, independent analysis, material equivalency evaluation, functional testing, etc. The method and frequency of verification shall be described in the remarks section of the QSL.
- f. Code information relative to ASME Code suppliers, i.e., Certification expiration date, number and type.
- g. Remarks relative to the supplier's capability including any restrictions.

5.7.3 QSL Revision

Based upon the results of supplier evaluation and supplier maintenance activities, suppliers may be added, retained, or deleted from the QSL.

1. The QSL shall be revised quarterly, (if necessary), to incorporate change notices occurring during the quarter. The Director Quality Assurance shall document approval of the QSL revisions or changes.
2. QSL changes, which affect location, scope, product/specification, or restrictions occurring during the quarterly period shall be documented on the QSL Cover Page/Change Notice and approved by the Director Quality Assurance.
3. QA shall forward the approved QSL, revisions and change notices to Document Control for controlled distribution in accordance with QMP-06-02.

5.8 SUPPLIER MAINTENANCE

5.8.1 General

1. With the exception of items supplied in accordance with Paragraph 5.8.4, suppliers may be maintained on the QSL through one or a combination of evaluations, surveillances or audits which

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demonstrates the supplier's capability to implement required quality elements.

- a. Supplier maintenance activities shall be documented on the Supplier Evaluation Sheet, Figure 1, and approved by the Director Quality Assurance.
 - b. Based upon the results of Supplier maintenance activities, the supplier shall be retained or deleted from the QSL, as directed by the Director Quality Assurance. Active suppliers shall not be deleted if an audit is required but is overdue. Active suppliers are those who have provided products or services within one year of the scheduled audit date.
2. Deficiencies identified during supplier evaluations shall be resolved with the supplier or acceptable corrective action obtained from the supplier prior to evaluation approval.
 3. Limitations, restrictions, supplier verification activities and documented commitments made by the supplier and not implemented prior to the supplier being approved for retention on the QSL shall be documented in the Remarks column of the QSL.

5.8.2 Justification for Retention on QSL

Suppliers and Distributors shall be reviewed annually by QA.

1. This review shall take into consideration the extent to which the supplier has been used in the past, the uniqueness of the item or service provided, and anticipated future need for the particular item(s) or service(s).
2. Suppliers to be deleted shall be identified on the QSL Deletion Notice, Figure 6. The Deletion Notice shall be approved by QA and distributed to:
 - a. The manager of the organization initially requesting the supplier.
 - b. The manager of any organization utilizing the supplier in the previous twelve (12) months.
 - c. Purchasing agent.
3. Adequate justification shall be provided for maintaining the supplier on the QSL within fifteen (15) days of issuance of the QSL Deletion Notice. Otherwise, an QSL Cover Page/Change Notice will be initiated to delete the supplier from the QSL. Suppliers may be

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deleted without the QSL Deletion Notice when the supplier has gone out of business, refuses to comply with the requirements of purchasing documents, or is unacceptable as evidenced by the maintenance activities.

4. Based on the justification, the Director Quality Assurance, shall either approve or disapprove the deletion of the supplier from the QSL.

5.8.3 Annual Performance Evaluation

This evaluation shall be conducted by QA and shall include the following as appropriate:

1. Review of the suppliers currently approved Quality Assurance Program, Manual, Procedures or other implementing documents.
2. Review of periodic audits, surveillance and receipt inspection activities.
3. Review of corrective action documents, i.e., supplier Nonconformances, SDR(s). This review shall include an evaluation of the cause, severity and remedial corrective action.
4. Examination of YMPO/Supplier initiated correspondence.
5. Review of NRC data, i.e., NUREG-0040, Information Notices, Bulletins, etc.
6. Other data, i.e., Audits conducted by utilities, ASME Code Certificate status, etc.
7. Trend Summaries.
8. Request and obtain from the Cost Account Manager (CAM) an annual evaluation of the Supplier's performance.

5.8.4 Periodic Audits

Except as permitted by 5.8.5, Product Verification in Lieu of Audits, the suppliers quality program shall be audited triennially at a minimum in accordance with QMP-18-01 Audit System for the Yucca Mountain Project. The triennial period shall be established by the results of the supplier evaluation. This cycle may be shortened at the direction of the Director Quality Assurance based upon audits/surveillances conducted prior to the required triennial audit.

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5.8.5 Product Verification in Lieu of Audits

In lieu of performing triennial audits, the annual evaluation may provide the primary basis for maintaining the supplier on the QSL when the critical attribute of a currently supplied product can be confirmed through independent chemical/physical analysis, product verification testing, by an approved supplier. The method chosen shall be described in the Remarks section of the QSL. Additionally, triennial audits and evaluations do not apply if the supplied product meets all of the following:

1. Are relatively simple and standard in design, manufacture, and test.
2. Are adaptable to standard or automated inspections or test of the end product to verify quality characteristics after delivery.
3. Are such that receiving inspection does not require operations that could adversely affect the integrity, function, or cleanliness of the item.

6.0 REFERENCES *

6.1 SOURCE DOCUMENTS

1. Yucca Mountain Project Office, Quality Assurance Plan NNWSI/88-9, Section VII, Control of Project Office Purchased Items and Services.
2. ANSI/ASME NQA-1, Criteria 7, Control of Purchased Items and Services.
3. ANSI/ASME NQA-1, Supplement 7S-1, Supplementary Requirements for Control of Purchased Items and Services.
4. ASME Codes Section III, Subsections N(X) 2610, NQA3800, and NCA 4000.

6.2 INTERFACING DOCUMENTS

1. NUREG-0040, Licensee, Contractor and Vendor Inspection Status Report.
2. QMP 04-01 Procurement Document Control.
3. QMP 06-02 Document Control.
4. QMP 07-03 Control of Purchased Items and Services.
5. QMP 16-02 Trend Analysis.
6. QMP 17-01 Records Source and Records User Responsibilities.
7. QMP 18-01 Audit System for the Yucca Mountain Project.
8. QMP 18-02 Surveillances.

* Latest revision.

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7.0 FIGURES

- Figure 1. Sample Supplier Evaluation Report.
- Figure 2. Sample Supplier Quality Assurance Program Checklist and Supplement forms.
- Figure 3. Sample Quality Assurance Documentation Approval Sheet.
- Figure 4. Sample QSL Transmittal Letter and QSL forms.
- Figure 5. Sample QSL Cover Page/Change Notice.
- Figure 6. Sample QSL Deletion Notice.

8.0 QA RECORDS

The figures resulting from the implementation of this procedure shall be designated as QA Records and shall be processed and maintained in accordance with QMP-17-01, Records Source and Records Users Responsibilities.

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SUPPLIER EVALUATION REPORT				11-8-89-1 FORM PAGE 1 OF 4
PURPOSE:				
<input type="checkbox"/> ADDITION <input type="checkbox"/> CHANGE <input type="checkbox"/> PROGRAM REVISION <input type="checkbox"/> ANNUAL PERFORMANCE EVALUATION <input type="checkbox"/> TRIENNIAL AUDIT <input type="checkbox"/> OTHER (Specify)				
SUPPLIER INFORMATION	SUPPLIER NAME/ADDRESS		CONTACT NAME/TITLE	
			TELEPHONE	
	SPECIFICATION	SCOPE	PRODUCT/SERVICE	
	PROCUREMENT DOCUMENT NUMBER(S)			
	CODE CERTIFICATION	EXP. DATE	QA MANUAL	STATUS
CODES/STD COMMITTED TO IN QA MANUAL				
<input type="checkbox"/> 10CFR50B <input type="checkbox"/> NCA-1 <input type="checkbox"/> ANSI-N 45.2 <input type="checkbox"/> ASME NCA 4000 <input type="checkbox"/> ASME NCA 3800(M) <input type="checkbox"/> ASME NCA 3800(S) <input type="checkbox"/> COMMERCIAL				
TYPE	<input type="checkbox"/> QUALITY RECORDS REVIEW <input type="checkbox"/> FACILITY SURVEY <input type="checkbox"/> SUPPLIER HISTORY <input type="checkbox"/> ASME COORDINATIONAL BOARD CERTIFICATION			
	LIMITATIONS, SUPPLIER VERIFICATION ACTIVITIES OR DOCUMENTED COMMITMENTS			
RESTRICTIONS				
	Continued <input type="checkbox"/>			
REMARKS				
	Continued <input type="checkbox"/>			
APPROVAL	<input type="checkbox"/> QUALIFIED REEVALUATION DUE DATE _____ AUDIT DUE DATE _____ <input type="checkbox"/> QUALIFIED WITH RESTRICTION			
	OPERATOR QUALITY ASSURANCE _____ Signature _____ Date _____			

Figure 1. Sample Supplier Evaluation Report.

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SUPPLIER EVALUATION REPORT

11-8-89-1
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SUPPLIER NAME: _____

	CRITERION NO.	QUALITY ELEMENT	SAT	UNSAT	N/A
QUALITY RECORDS REVIEW	1	ORGANIZATION			
	2	QUALITY ASSURANCE PROGRAM			
	3	DESIGN CONTROL			
	4	PROCUREMENT DOCUMENT CONTROL			
	5	INSTRUCTIONS, PROCEDURES AND DRAWINGS			
	6	DOCUMENT CONTROL			
	7	CONTROL OF PURCHASED MATERIAL, EQUIPMENT AND SERVICES			
	8	IDENTIFICATION AND CONTROL OF MATERIALS, PARTS AND COMPONENTS			
	9	CONTROL OF SPECIAL PROCESSES			
	10	INSPECTION			
	11	TEST CONTROL			
	12	CONTROL OF MEASURING AND TEST EQUIPMENT			
	13	HANDLING, STORAGE AND SHIPPING			
	14	INSPECTION, TEST AND OPERATING STATUS			
	15	NONCONFORMING MATERIAL, PARTS OR COMPONENTS			
	16	CORRECTIVE ACTION			
	17	QUALITY ASSURANCE RECORDS			
	18	AUDITS			

DESCRIPTION OF QUALITY ASSURANCE PROGRAM, MANUAL, PROCEDURES OR OTHER SIMILAR DOCUMENT(S) REVIEWED/EVALUATED

TITLE	REVISION	DATE

Continued

FACILITY SURVEY/PERIODIC REVIEW

SURVEY/AUDIT DATE _____ AUDIT NUMBER _____

AUDIT PERFORMED BY: _____

SURVEY SCOPE/AUDIT RESULTS _____

Continued

DEFICIENCIES/FINDINGS IDENTIFIED YES NO

DOCUMENTED COMMITMENTS FOR OPEN DEFICIENCIES/FINDINGS REVIEWED AND FOUND ACCEPTABLE YES NO N/A

DEFICIENCIES/FINDINGS RESOLVED/CLOSED YES NO

Figure 1. Sample Supplier Evaluation Report (continued).

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SUPPLIER NAME:			
SUPPLIER HISTORY	DOCUMENT TYPE	TITLE/REMARKS	
	ACTION, i.e., SDR(s) SUPPLIER NONCONFORMANCE REPORT(s)		
	SOURCE VERIFICATION/RECEIPT INSPECTION REPORTS		
	PREVIOUS PERIODIC AUDITS/SURVEYS, etc.		
	SAIC/SUPPLIER INITIATED CORRESPONDENCE		
	NRC DOCUMENTS, i.e., NUREG-0400, IAE NOTICE/BULLETINS, etc.		
	OTHER (Specify)		
Continued <input type="checkbox"/>			
CERTIFICATES	CERTIFICATE TYPE (i.e., MII/V/VI OR NBB)	NUMBER	EXPIRATION DATE
	_____	_____	_____
	_____	_____	_____
EVALUATION RESULTS	SUPPLIER RATING: <input type="checkbox"/> QUALIFIED <input type="checkbox"/> QUALIFIED WITH RESTRICTIONS <input type="checkbox"/> NOT APPLICABLE		
Continued <input type="checkbox"/>			
RESTRICTIONS, LIMITATIONS, SUPPLIER VERIFICATION ACTIVITIES OR DOCUMENTED COMMITMENTS ARE APPLICABLE <input type="checkbox"/> YES <input type="checkbox"/> NO IF YES, IDENTIFY ON SUPPLIER EVALUATION SHEET, PAGE 1.			
EVALUATOR _____	SIGNATURE _____	DATE _____	

Figure 1. Sample Supplier Evaluation Report (continued).

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ITEM NO.:

Figure 1. Sample Supplier Evaluation Report (continued).

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SUPPLIER QUALITY ASSURANCE PROGRAM CHECKLIST

1.0 PURPOSE AND SCOPE

This Supplier Quality Assurance Evaluation Checklist, establishes the measures utilized for evaluating Supplier Quality Program.

2.0 APPLICABILITY

This checklist applies to the evaluation of a supplier's quality programs for compliance to the requirements, defined in the procurement document, Scope of Work for Quality Level I and II applications.

3.0 GUIDELINES

- 3.1 The evaluator shall be guided by this checklist and any applicable supplements generated, as appropriate to the potential suppliers program and supplier's capability under evaluation.
- 3.2 Review the supplier's quality manual (or programs) for compliance with the requirements for the type program delineated in their quality manual and applicable to the evaluation. Use the "Statement Location" on the checklist to document where a particular requirement is referenced in the Supplier's Quality Manual. The evaluator shall record any marginal or questionable conclusions or nonconformances in the "Comment" spaces provided, as required.
- 3.3 Prior to a facility survey, the procurement documents shall be reviewed to establish:
 1. The type of procurement under consideration.
 2. Type Quality Program required.
 3. Any scheduling requirements.
 4. Any pertinent information necessary, such as unique or difficult process involved, critical characteristics and area requiring particular attention.
 5. The need for a Technical Specialist participation.

Figure 2. Sample Supplier Quality Assurance Program Checklist.

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- 3.4 For facility surveys a supplemental checklist may be generated for use during the survey, based on the requirements stated in the Supplier Quality Program. The checklist will include questions to be asked and objective evidence to be identified that will verify effective implementation of the suppliers quality program. The checklist should also be used to confirm or close out any open or action items from the initial program evaluation.
- 3.5 Accomplishment of the facility survey requires a determination that the evidence offered by the supplier meets the requirements under consideration. The evaluator shall record the identification of supporting evidence on the checklist, as well as, observations as to their adequacy or compliance with the checklist criteria.
- 3.6 Facility Surveys are recognized as a sampling operation. The evaluator examines objective evidence to verify conformance to the requirements under evaluation. The evaluator is responsible for an adequate sample with sufficient depth of examination to confirm the required quality system for the item or service concerned with the potential procurement.
- 3.7 Commercial Grade Supplier selections will be based on technical capability and establishment of QA measure appropriate to the item or services to be provided as established in the procurement documents.
Examples:
1. In developing the QA requirements for a supplier furnishing design analysis, the following requirements of ANSI/ASME NQA-1 would apply.

<u>CRITERIA</u>	<u>TITLE</u>	<u>REQUIREMENTS</u>
1	Organization	Partial Only
2	QA Program	Partial Only
3	Design Control	Mandatory
5	Instructions, Procedures, Drawings	Mandatory
6	Document Control	Mandatory
16	Corrective Action	Mandatory
17	QA Records	Mandatory
18	Audits	Mandatory

Figure 2. Sample Supplier Quality Assurance Program Checklist (continued).

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2. In developing the QA requirements for procuring conceptual tests, there are no mandatory requirements from ANSI/ASME NQA-1. Optional requirements to be evaluated for inclusion could include criteria 1, 2, 3, 4, 5, 6, 11, 12, 16, 17 and 18.
3. In developing the QA requirements for procuring laboratory analytical services and speciality processing the following requirements of ANSI/ASME NQA-1 would apply.

CRITERIA

TITLE

REQUIREMENTS

1	Organization	Partial Only
2	QA Program	Partial Only
5	Instructions, etc.	Normal Operating Methods
6	Document Control	Normal Operating Methods
8	Identification and Control	Normal Operating Methods
9	Control of Process	Normal Operating Methods
11	Test Control	Normal Operating Methods
12	Control of Measuring and Test Equipment	Normal Operating Methods
13	Handling, Storage and Shipping	Normal Operating Methods
16	Corrective Action	Normal Commercial Practice
17	QA Records	Normal Operating Methods
18	Audits	Optional

4. In determining QA requirements for off the shelf stock items, normally all that you would receive would be a Certificate of conformance to a catalog or specification number; if more is required it must be specified.
5. In determining QA requirements for raw material, examine the material specification and application. For ASME use, QA requirements must comply with NCA 3800 for a material supplier.

Figure 2. Sample Supplier Quality Assurance Program Checklist (continued).

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SUPPLIERS NAME: _____			EVALUATED BY: _____							
FACILITY ADDRESS: _____			DATE: _____							
CITY/STATE: _____			PROGRAM TYPE: [] 10CFR50B [] ANSI N 45.2							
ZIP CODE: _____			[] NCA 4000 [] NCA 3800M [] NCA 3800S							
			[] ANS/ASME NCA-1 [] COMMERCIAL							
ITEM	QA PROGRAM EVALUATION CRITERIA	STATEMENT LOCATION	QUALITY PROGRAM TYPE CODE							COMMENTS
			1	2	3	4	5	6	7	
1.0	ORGANIZATION									
1.1	Has supplier established a QA program?									
1.2	Is supplier responsible for execution of QA program?									
1.3	Is responsibility retained by supplier for QA program even when the work of establishing or executing the QA program is delegated to other organizations?									
1.4	Have authority and duties of persons and organizations performing QA functions been clearly established and delineated in writing?									
1.5	Is authority and organizational freedom of such persons and organizations sufficient:									
	a. To identify problem?									
	b. To initiate, recommend, or provide solutions?									
	c. To verify implementation of solutions?									
	d. To control further processing, delivery, or installation of a nonconforming item, deficiency or unsatisfactory condition until proper disposition has occurred?									
1.6	Do management measures provide that the individual or group responsible for checking, auditing, inspection or otherwise verifying that an activity has been correctly performed is independent of the individual or group directly responsible for performing the specific activity?									
1.7	Is or does the person or organization responsible for defining the extent effectiveness of the QA program:									
	a. Designated?									
	b. Independent from the pressures of production?									
	c. Has direct access to responsible management at a level where appropriate action can be required?									
	d. Report regularly on the effectiveness of the program?									
SECTION 1.8 SUMMARY COMMENTS:										
KEY TO QUALITY PROGRAM CODE: 1 = 10CFR50 APPENDIX B 2 = ANSI/ASME NCA-1 3 = ANSI N 45.2 4 = ASME NCA 4000 5 = ASME NCA 3800(Mfg) 6 = ASME NCA 3800(Supplier) 7 = COMMERCIAL GRADE SUPPLIER										

Figure 2. Sample Supplier Quality Assurance Program Checklist (continued).

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ITEM	QA PROGRAM EVALUATION CRITERIA	STATEMENT LOCATION	QUALITY PROGRAM TYPE CODE							COMMENTS
			1	2	3	4	5	6	7	
2.0	QUALITY ASSURANCE PROGRAM									
2.1	Has supplier established a QA program that complies with specification level shown?									
2.2	Is documentation of QA program by:									
	a. Written policies?									
	b. Procedures?									
	c. Instructions?									
2.3	Will the QA program be carried out for the life of the contract?									
2.4	Have items or services to be covered by the QA program been identified?									
2.5	Have major organizations participating in program and their designated functions been identified?									
2.6	Does the QA program provide control over activities affecting the quality of the identified items or services to the extent consistent with their importance to safety, reliability and performance?									
2.7	Are activities affecting quality accomplished under suitably controlled conditions? Controlled conditions including:									
	a. Use of appropriate equipment?									
	b. Suitable environmental conditions for accomplishing the activity, e.g., adequate cleanliness?									
	c. Assurance that prerequisites for the given activity have been established?									
2.8	Does program take into account the need for special:									
	a. Controls?									
	b. Processes?									
	c. Test Equipment?									
	d. Tools?									
	e. Skills to attain required quality?									
2.9	Does program take into account the need for verification of quality by inspection and test?									
2.10	Does program provide the identification and training of personnel performing activities affecting quality as necessary to ensure suitable proficiency is achieved and maintained?									
2.11	Does supplier regularly review the status and adequacy of his entire QA program?									
2.12	Does management of other organizations participating in the QA program review status and adequacy of their part of QA program which they are executing?									
SECTION 2.6 SUMMARY COMMENTS:										

Figure 2. Sample Supplier Quality Assurance Program Checklist (continued).

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ITEM	QA PROGRAM EVALUATION CRITERIA	STATEMENT LOCATION	QUALITY PROGRAM TYPE CODE							COMMENTS
			1	2	3	4	5	6	7	
3.0	DESIGN CONTROL									
3.1	Are measures established to assure that applicable specified design requirements, such as design bases, regulatory requirements, codes and standards are correctly translated into specs, drawings, procedures and instructions?									
3.2	Do measures include provisions to assure that appropriate quality standards are specified and included in design documents?									
3.3	Are changes or deviations from design requirements or quality standards identified, documented and controlled?									
3.4	Are measures established for selection and review for suitability of specification of materials, parts, equipment and processes that are essential to the safety-related functions of the product?									
3.5	Are measures established for the identification and control of design interfaces and for coordination among participating design organizations?									
3.6	Do measures include the establishment of procedures among participating design organizations for review, approval, release, distribution and revision of documents involving design interfaces?									
3.7	Do design control measures provide for verifying or checking accuracy of design such as performance of design review, by the use of alternate or simplified calculational methods, or by performance of a suitable testing program?									
3.8	Is the verifying or checking process performed by individuals or groups other than those who performed original design, but they be from the same organization?									
3.9	Does the responsible design organization identify the particular verification methods utilized?									
3.10	Where a test program is used to verify the adequacy of specific design features in lieu of other verifying or checking processes, does it include suitable qualification testing of a prototype unit under the most adverse design conditions?									
3.11	Are design control measures applied to items such as the following?									
	a. Stress, thermal, hydraulic and accident analyses?									
	b. Compatibility of materials?									
	c. Accessibility for in-service inspection?									
	d. Accessibility for in-service maintenance and repair?									
	e. Definition of acceptance criteria for inspections and tests?									
3.12	Are design changes, including field changes, subject to the design control measures commensurate with those applied to the original design and be approved by the organization that performed the original design unless the purchaser designates another responsible organization?									

Figure 2. Sample Supplier Quality Assurance Program Checklist (continued).

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SECTION 3.0 SUMMARY COMMENTS:										
ITEM	QA PROGRAM EVALUATION CRITERIA	STATEMENT LOCATION	QUALITY PROGRAM TYPE CODE							COMMENTS
			1	2	3	4	5	6	7	
4.0	PROCUREMENT DOCUMENT CONTROL									
4.1	Are measures established to assure that applicable regulatory requirements, design bases and other requirements which are necessary to assure adequate quality are suitably included or referenced in the documents for procurement of items and services, whether purchased by the order or by its subcontractors?									
4.2	Do procurement documents include provisions for the following, as applicable?									
	a. Identification of quality assurance requirements and the elements of the program applicable to the items or services procured.									
	b. Drawings, specifications, codes and industrial standards with applicable revision data, test and inspection requirements, and special instructions and requirements, such as for designing, fabrication, cleaning, erecting, packaging, handling, shipping, and, if applicable, extended storage in the field; and for test equipment.									
	c. Provisions for access to the plant facilities and records for source inspection and audit.									
	d. Records to be prepared, maintained, submitted or made available for review.									
	e. Instruction on record retention and disposition.									
4.3	f. Provisions for extending applicable requirements of procurement documents to lower tier subcontractors and suppliers including seller and buyers access to facilities and records.									
	Do all procurement documents require contractors or subcontractors to provide a quality assurance program consistent with pertinent provisions of the specified contract?									
SECTION 4.0 SUMMARY COMMENTS:										

Figure 2. Sample Supplier Quality Assurance Program Checklist (continued).

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ITEM	QA PROGRAM EVALUATION CRITERIA	STATEMENT LOCATION	QUALITY PROGRAM TYPE CODE							COMMENTS
			1	2	3	4	5	6	7	
5.0	INSTRUCTIONS, PROCEDURES AND DRAWINGS									
5.1	Are activities affecting quality prescribed by documented plans, instructions, procedures or drawings?									
5.2	Are activities accomplished in accordance with these instructions, procedures or drawings?									
5.3	Do instructions, procedures or drawings include appropriate quantitative or qualitative acceptance criteria for determining that important activities have been satisfactorily accomplished?									
SECTION 5.0 SUMMARY COMMENTS:										
6.0	DOCUMENT CONTROL									
6.1	Are measures established to control the issuance of documents, such as instructions, procedures and drawings, including changes thereto, which prescribe activities affecting quality?									
6.2	Do measures assure that documents, including changes, are reviewed for adequacy and approved for release by authorized personnel and are distributed to and used at the same location where the prescribed activity is performed?									
6.3	Are changes to documents reviewed and approved by the same organizations that performed the original review and approval unless the buyer authorizes another responsible organization?									
6.4	Do the reviewing organizations have access to pertinent background information?									
6.5	Do document control measures provide for:									
	a. Identification of individuals or organizations responsible for preparing, reviewing, approving and issuing documents and revisions thereto?									
	b. Establishing current and updated distribution lists?									
SECTION 6.0 SUMMARY COMMENTS:										

Figure 2. Sample Supplier Quality Assurance Program Checklist (continued).

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ITEM	QA PROGRAM EVALUATION CRITERIA	STATEMENT LOCATION	QUALITY PROGRAM TYPE CODE							COMMENTS
			1	2	3	4	5	6	7	
7.0	CONTROL OF PURCHASED MATERIAL, EQUIPMENT, AND SERVICES									
7.1	Are measures established to assure that purchased material, equipment and services, whether purchased directly or through contractors and subcontractors, conform to the procurement documents?									
7.2	Do the measures include provisions, as appropriate for:									
	a. Source evaluation and selection?									
	b. Objective evidence of quality furnished by the con- tractor or subcontractor?									
	c. Inspection at the contractor or subcontractor source?									
	d. Examination of products upon delivery?									
7.3	Is documentary evidence that material and equipment conform to the procurement requirements available at the supplier facility prior to use of such material and equipment?									
7.4	Is documentary evidence retained by the supplier sufficient to identify the specific requirements such as codes, standards or specifications met by the purchased material and equipment as required by procurement documents?									
7.5	Where not precluded by other requirements such documentary evidence does take the form of written certification of performance which identify the requirements met by the items, provided means are available to verify the validity of such certifications?									
7.6	Is the effectiveness of the control of quality by contractors and subcontractors assessed by the seller or engineer at intervals consistent with the importance, complexity and quantity of the product or services?									
SECTION 7.0 SUMMARY COMMENTS:										
8.0	IDENTIFICATION AND CONTROL OF MATERIALS, PARTS AND COMPONENTS									
8.1	Are measures established for the identification and control of materials, parts and components including partially fabricated assemblies?									
8.2	Do measures assure that identification of the item is maintained by heat number, part number, serial number or other appropriate means, either on the item or on records traceable to the item, as required throughout fabrication, erection, installation, and use of the item?									

Figure 2. Sample Supplier Quality Assurance Program Checklist (continued).

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ITEM	QA PROGRAM EVALUATION CRITERIA	STATEMENT LOCATION	QUALITY PROGRAM TYPE CODE							COMMENTS
			1	2	3	4	5	6	7	
8.3	Are identification and control measures designed to prevent the use of incorrect or defective material, parts and components?									
8.4	Where identification marking is employed, are the markings clear, unambiguous and indelible, and applied in such a manner as not to affect the function of the item?									
8.5	Are markings transferred to each part of an item when subdivided and not obliterated or hidden by surface treatment or coatings unless other means of identification are substituted?									
8.6	When codes, standards or specifications require traceability of materials, parts or components to specific inspection or test records, is the program designed to provide such traceability?									
SECTION 8.0 SUMMARY COMMENTS:										
9.0	CONTROL OF SPECIAL PROCESSES									
9.1	Are measures established to assure that special processes, including welding, heat-treating, cleaning and nondestructive testing are controlled and accomplished by qualified personnel using qualified procedures in accordance with applicable codes, standards, specifications, orders and other special requirements?									
9.2	Is documentation maintained for currently qualified personnel, processes or equipment in accordance with the requirements of pertinent codes and standards?									
9.3	For special processes not covered by existing codes or standards, or where such quality requirements exceed the requirements of established codes or standards, are the necessary qualifications of personnel, procedures or equipment defined?									
SECTION 9.0 SUMMARY COMMENTS:										

Figure 2. Sample Supplier Quality Assurance Program Checklist (continued).

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ITEM	QA PROGRAM EVALUATION CRITERIA	STATEMENT LOCATION	QUALITY PROGRAM TYPE CODE							COMMENTS
			1	2	3	4	5	6	7	
10.0	INSPECTION									
10.1	Is a program for inspection of activities affecting quality established and executed by or for the organization performing the activity to verify conformance with the documented instructions, procedures and drawings for accomplishing the activity?									
10.2	a. Is inspection performed by individuals other than those who performed the activity being inspected?									
	b. Do such persons not report directly to the immediate supervisors who are responsible for the work being inspected?									
10.3	Are examinations, measurements or tests of materials or products processed performed for each work operation where necessary to assure quality?									
10.4	If inspection of processed material or products is impossible or impractical, is indirect control by monitoring processing methods, equipment and personnel provided?									
10.5	Are both inspection and process monitoring provided when control is inadequate without both?									
10.6	Where a sample is used to verify acceptability of a group of items, is the sampling procedure based on recognized standard practice and does it provide adequate justification for the sample size and selection process?									
10.7	If mandatory inspection hold points, which require witnessing or inspecting by the buyer's designated representative and beyond which work shall not proceed without the consent of its designated representative are required, are the specific hold points indicated in appropriate documents?									
SECTION 10.0 SUMMARY COMMENTS:										
11.0	TEST CONTROL									
11.1	Is a test program, established to assure that all testing required to demonstrate that items will perform satisfactorily in service, identified and performed in accordance with written test procedures which incorporate the requirements and acceptance limits contained in applicable design documents?									
11.2	Are test requirements and acceptance criteria provided by the organization responsible for the design of the item under test, unless otherwise designated?									
11.3	Does the test program include as appropriate, proof tests prior to installation, preoperational tests and operational tests during nuclear power plant operation of structures, systems and components?									

Figure 2. Sample Supplier Quality Assurance Program Checklist (continued).

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ITEM	QA PROGRAM EVALUATION CRITERIA	STATEMENT LOCATION	QUALITY PROGRAM TYPE CODE							COMMENTS
			1	2	3	4	5	6	7	
11.4	Do test procedures include provisions for assuring that all prerequisites for the given test have been met, that accurate test instrumentation is available and used, and the test is performed under suitable environmental conditions?									
11.5	Are test results documented and evaluated to assure that test requirements have been satisfied?									
SECTION 11.0 SUMMARY COMMENTS:										
12.0	CONTROL OF MEASURING AND TEST EQUIPMENT									
12.1	Are measures established to assure that tools, gages, instruments and other measuring and testing devices used in activities affecting quality are properly controlled, calibrated and adjusted at specified periods to maintain accuracy within necessary limits?									
12.2	Are inspection, measuring and test equipment calibrated, adjusted and maintained against certified equipment having known valid relationships to nationally recognized standards?									
12.3	When inspection, measuring and test equipment are found to be out of calibration, is an evaluation made and documented of the validity of previous inspections or test results and of the acceptability of items previously inspected or tested?									
12.4	Is inspection, measuring or test equipment consistently found to be out of calibration repaired or replaced?									
12.5	Are records maintained and equipment suitably marked to indicate calibration status?									
SECTION 12.0 SUMMARY COMMENTS:										

Figure 2. Sample Supplier Quality Assurance Program Checklist (continued).

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ITEM	QA PROGRAM EVALUATION CRITERIA	STATEMENT LOCATION	QUALITY PROGRAM TYPE CODE							COMMENTS
			1	2	3	4	5	6	7	
13.0	HANDLING, STORAGE AND SHIPPING									
13.1	Are measures established to control the handling, storage, shipping, cleaning and preservation of materials and equipment and samples in accordance with work and inspection instructions to prevent damage or deterioration?									
13.2	When necessary for particular products, are special protective environments, such as inert gas atmospheres, specific moisture content levels and temperature levels specified and provided (and their existence verified)?									
13.3	Are special handling tools and equipment inspected and tested in accordance with written procedures and at specified times to verify that the tools and equipment are adequately maintained?									
13.4	Is special attention given to providing adequate instructions for marking and labeling for packaging, shipment and storage of items?									
13.5	Is marking adequate to identify, maintain and preserve the shipment, including indication of the presence of special environments or the need for special control?									
SECTION 13.0 SUMMARY COMMENTS:										
14.0	INSPECTION, TEST AND OPERATING STATUS									
14.1	Are measures established to indicate by use of markings such as stamps, tags, labels, routing cards or other suitable means, the status of inspections and test performed upon individual items?									
14.2	Do measures provide for the identification of items which have satisfactorily passed required inspections and tests, where necessary to preclude inadvertent opening of such inspections and tests?									
14.3	Are measures established for indicating the operating status of items such as by tagging valves and switches to prevent inadvertent operation?									
14.4	Do measures include procedures for control of status indicators, including the authority for application and removal of tags, markings, labels and stamps?									
SECTION 14.0 SUMMARY COMMENTS:										

Figure 2. Sample Supplier Quality Assurance Program Checklist (continued).

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SUPPLIER QUALITY ASSURANCE PROGRAM CHECKLIST		11-8-89-2 FORM PAGE 11 OF 13									
ITEM	QA PROGRAM EVALUATION CRITERIA	STATEMENT LOCATION	QUALITY PROGRAM TYPE CODE							COMMENTS	
			1	2	3	4	5	6	7		
15.0	NONCONFORMING MATERIAL, PARTS OR COMPONENTS										
15.1	Are measures established to control material, parts or components (services or activities) which do not conform to requirements in order to prevent their inadvertent use or installation?										
15.2	Do such measures include as appropriate, procedures for identification, documentation, segregation, disposition and notification to affected organizations?										
15.3	Are nonconforming items reviewed and accepted, rejected, repaired or reworked in accordance with documented procedures?										
15.4	Are the responsibility and authority for the disposition of nonconforming items defined?										
15.5	Are repaired and reworked items rechecked in accordance with applicable procedures?										
15.6	Are measures which control further processing, delivery or installation of a nonconforming or defective item pending a decision on its disposition established and maintained?										
15.7	Do such measures require documentation verifying the acceptability of nonconforming items which have the disposition of "repair" or "use as is"?										
15.8	In a description of the change, waiver or deviation that has been accepted documented to record the change and denote the as-built condition?										
15.9	Are measures established for determining nonconformance responsibility to purchaser?										
SECTION 15.0 SUMMARY COMMENTS:											
16.0	CORRECTIVE ACTION										
16.1	Are measures established to assure that conditions adverse to quality such as failures, malfunctions, deficiencies, deviations, defective material and equipment and nonconformances are promptly identified and corrected?										
16.2	In the case of significant conditions adverse to quality, do the measures assure that the cause of the condition is determined and corrective action taken to preclude repetition?										
16.3	Are the identification of significant conditions adverse to quality, the cause of the condition, and the corrective action taken documented and reported to appropriate levels of management?										
SECTION 16.0 SUMMARY COMMENTS:											

Figure 2. Sample Supplier Quality Assurance Program Checklist (continued).

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SUPPLIER QUALITY ASSURANCE PROGRAM CHECKLIST		11-8-89-2 FORM PAGE 12 OF 13								
ITEM	QA PROGRAM EVALUATION CRITERIA	STATEMENT LOCATION	QUALITY PROGRAM TYPE CODE							COMMENTS
			1	2	3	4	5	6	7	
17.0	QUALITY ASSURANCE RECORDS									
17.1	Are sufficient records maintained to furnish evidence of activities affecting quality? The records shall include at least the following:									
	a. Operating logs and the results of reviews									
	b. Inspections									
	c. Tests									
	d. Audits									
	e. Monitoring of work performance									
	f. Material analyses									
17.2	Do records include closely related data such as qualification of:									
	a. Personnel?									
	b. Procedures?									
	c. Equipment?									
17.3	Do inspection and test records, as a minimum, identify:									
	a. The inspector or data recorder?									
	b. The type of inspection?									
	c. The results?									
	d. The occasion?									
	e. The action regarding deficiencies noted?									
	f. The date of inspection or test?									
17.4	Are records identifiable and retrievable?									
17.5	Are records stored, filed and maintained in facilities that provide suitable environment to minimize deterioration or damage and to prevent loss?									
17.6	Are restrictions for record storage structural, resistant and maintenance:									
	a. Established and documented?									
	b. Consistent with applicable codes and standards?									
	c. Consistent with applicable procurement documents?									
	d. Assigned storage responsibility?									
17.7	Are records which directly identify the "as built" condition of items in the plant maintained for the life of the plant by or for the owner?									
SECTION 17.8 SUMMARY COMMENTS:										

Figure 2. Sample Supplier Quality Assurance Program Checklist (continued).

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SUPPLIER QUALITY ASSURANCE PROGRAM CHECKLIST		11-8-89-2 FORM PAGE 13 OF 13								
ITEM	QA PROGRAM EVALUATION CRITERIA	STATEMENT LOCATION	QUALITY PROGRAM TYPE CODE							COMMENTS
			1	2	3	4	5	6	7	
18.0	AUDITS									
18.1	Is a comprehensive system of planned and periodic audits carried out to: a. Verify conformance with all aspects of the QA program? b. Determine the effectiveness of the program?									
18.2	Are audits conducted periodically or on a random, unscheduled basis, or both? Are audits conducted when one or more of the following conditions exist: a. When it is necessary to determine the capability of a subcontractor's quality assurance program prior to awarding of contract or purchase order? b. When, after award of contract, sufficient time has elapsed for the implementation of the quality assurance program, and it is appropriate to determine that the organization is performing the functions as defined in the quality assurance program description, codes, standards and other related documents? c. When significant changes are made in functional areas of the quality assurance program, including significant reorganizations and procedure revisions? d. When it is suspected that safety, performance or reliability of the item is in jeopardy due to deficiencies and nonconformances in the quality assurance program? e. When a systematic, independent assessment of program effectiveness or item quality or both is considered necessary? f. When it is considered necessary to verify implementation of required corrective action?									
18.3	Are audits performed in accordance with written procedures or checklists by appropriately trained personnel not having direct responsibility in the areas being audited?									
18.4	Is an audit plan developed to provide information about the audit, such as the functional areas to be audited, the nature and assignments of those who will perform the audit and the scheduling arrangements, and the method of reporting findings and recommendations?									
18.5	Does responsible management take necessary action to correct the deficiencies revealed by the audit?									
18.6	Are audit results documented and reviewed by management having responsibility in the area audited?									
18.7	Is follow-up action, including reaudit of deficient areas, taken where need is indicated?									
SECTION 18.0 SUMMARY COMMENTS:										

Figure 2. Sample Supplier Quality Assurance Program Checklist (continued).

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SUPPLIER QUALITY ASSURANCE PROGRAM CHECKLIST SUPPLEMENT FOR CALIBRATION SYSTEMS		11-8-89-3 FORM PAGE 1 OF 2	
ITEM	QA PROGRAM EVALUATION CRITERIA	STATEMENT LOCATION	COMMENTS
1	WRITTEN DESCRIPTION OF CALIBRATION SYSTEM COVERING MATE ADDRESSES:		
	a. Calibration reserves?		
	b. Calibration sources?		
	c. Environmental conditions under which equipment will be calibrated?		
	d. Controls for segregation of obsolete, damaged or otherwise inaccurate equipment?		
	e. Controls for production tooling verification (lugs, fixtures, etc.), when used?		
	f. Maintenance of system description?		
	g. Availability of system description, procedures and records, including procedure revision utilized for each calibration?		
	2	WRITTEN DESCRIPTION OF CALIBRATION SYSTEM COVERING MEASUREMENT STANDARDS INCLUDES:	
a. Listing of Measurement Standards (Reference and Transfer)?			
b. Nomenclature and identification number?			
c. Calibration reserves?			
d. Calibration sources?			
e. Environmental conditions under which measurement standards will be applied and calibrated?			
f. Traceability of accuracy to a national standard?			
g. Maintenance of system description?			
h. Availability of system description, procedures and calibration reports?			
3	ADEQUACY OF STANDARDS. DO MEASUREMENT STANDARDS ESTABLISHED BY THE CONTRACTOR FOR CALIBRATION OF MATE HAVE THE FOLLOWING CAPABILITIES:		
	a. Accuracy?		
	b. Stability?		
	c. Range?		
	d. Sensitivity required for the intended use?		
4	ENVIRONMENTAL CONTROLS. DO ENVIRONMENTAL CONTROLS ASSURE THAT:		
	a. Environmental conditions are appropriately controlled to assure required measurement accuracy?		
	b. Consideration is given to:		
	1. Temperature?		
	2. Humidity?		
	3. Vibration?		
4. Cleanliness?			
5. Other available factors affecting precise measurement?			

Figure 2. Sample Supplier Quality Assurance Program Checklist (continued).

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SUPPLIER QUALITY ASSURANCE PROGRAM CHECKLIST SUPPLEMENT FOR CALIBRATION SYSTEMS		11-8-89-3 FORM PAGE 2 OF 2	
ITEM	QA PROGRAM EVALUATION CRITERIA	STATEMENT LOCATION	COMMENTS
	c. Controls for the application of compensating corrections to calibration results are obtained in non-standard environments?		
5	CALIBRATION INTERVALS. DOES THE CONTRACTOR'S PROCEDURE PROVIDE FOR:		
	a. Calibration of M&TE and measurement standards at periodic intervals?		
	b. Establishment of calibration interval periods based upon stability, purpose and degree of usage?		
	c. Adjustment of calibration interval periods when evidenced by previous calibration results?		
	d. Mandatory recal of M&TE and standards?		
6	CALIBRATION PROCEDURES. DO CALIBRATION PROCEDURES PROVIDE FOR:		
	a. Preparation, provision, and utilization of written procedures for the calibration of M&TE and measurement standards?		
	b. Requirement for calibration to be performed by comparison to higher accuracy level standards?		
	c. Utilization of published standard practices or manufacturer's instructions?		

Figure 2. Sample Supplier Quality Assurance Program Checklist (continued).

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SUPPLIER QUALITY ASSURANCE PROGRAM CHECKLIST SUPPLEMENT FOR ASME CODE SECTION III, DIV. 1, NCA-4000		11-8-89-4 FORM PAGE 1 OF 1	
ITEM	QA PROGRAM EVALUATION CRITERIA	STATEMENT LOCATION	COMMENTS
1	Has the ASME evaluated the supplier's QA program?		
	a. What Certificates of Authorization were issued? (attach copy of each)		
2	Has the supplier established a controlled design, manufacturing/ assembly procedure?		
3	Does the QA Program define the organizational structure within which the QA Program is to be implemented?		
4	Is Program adequate for procurement under consideration?		
5	Does Program control quality of all products at all points necessary to assure conformance with ASME Code requirements?		
6	Is the Program documented in detail in the Quality Assurance Manual?		
7	Are reports of in-process and final design reviews reviewed by management of the responsible design organizations?		
8	Is a written description maintained of procedures used for control of quality and examinations, showing in detail the implementation of quality assurance requirements of NCA-4000?		
9	Are welding and brazing materials for all classes of construction controlled?		
10	Are all characteristics required to be reported by material specifications and by NCA-4000 included in checklists?		
11	Is each such characteristic examined and accepted in accordance with written procedure and the results recorded?		
12	Do checklists provide for recording receipt, review and acceptance of Material Test Reports?		
13	Do checklists include required range of values when results of examination or test procedures are necessary to show compliance to material specifications or other requirements?		
14	Do checklists include spaces for inclusion of document number and revision to which examinations were made; for a signature, initials or stamp, date of examination; for Authorized Inspector's signature, stamp or initials and date for items witnessed?		
15	Do corrective action requirements extend to the performance of the subcontractor's corrective action measures?		

Figure 2. Sample Supplier Quality Assurance Program Checklist (continued).

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SUPPLIER QUALITY ASSURANCE PROGRAM CHECKLIST SUPPLEMENT FOR ASME CODE SECTION III, DIV. 1, NCA-3800					
					11-8-89-5 FORM PAGE 1 OF 1
ITEM	QA PROGRAM EVALUATION CRITERIA	STATEMENT LOCATION	S	M	COMMENTS
1	Has the ASME evaluated the quality system/identification and verification program? a. (Attach copy of Certificate if awarded)				
2	Has an Identification and Verification Program for receipt, traceability, storage and handling of code materials been established and maintained?				
3	Does the Program include: a. Control of documentation and material? b. Periodic audits of the Program? c. Transmittal to purchasers of Material Test Reports/Certificates of Compliance? d. Control of nonconforming material?				
4	Has an Identification and Verification Manual been developed and maintained?				
5	Is a written description maintained of procedures used for control of quality and examinations, showing in detail the implementation of NCA-3800 requirements?				
6	Are welding materials for use in repair of material controlled in accordance with NCA-3800?				
7	Are operations under a controlled system such as process sheets, shop procedures, checklists, travelers or equivalent procedures?				
8	If welding is required in repair of material, is it performed in accordance with procedures and by welders/welding operators in accordance with NCA-3800 and Section IX?				
9	Are welding procedures and welders qualified?				
10	Are records of examinations and tests traceable to the procedure and revision to which an examination or test is performed?				
11	Do Certified Test Reports provided by the manufacturer and subcontractor include actual results of all required chemical analysis, tests, examinations (including radiographs if required) weld repair and heat treatments (including times and temperatures) performed in material?				
12	Do Certified Test Reports or Certificates of Compliance describe material identification codes, if used?				
13	Are the requirements of NCA-3800 (and addenda) involved on Material Manufacturers, either by direct citing in the P.O. or by a description of the requirements?				
14	Do Material Manufacturers and Material Suppliers who are not Holders of an ASME Quality System Certificate list the revision and date of the written program to which the material was manufactured or supplied on the CMTR?				
15	If the Material Supplier procures material from another Material Supplier, is the Seller a holder of an ASME Quality System Certificate or qualified by YMP-QA?				

S = SUPPLIER / M = MANUFACTURER

Figure 2. Sample Supplier Quality Assurance Program Checklist (continued).

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QUALITY ASSURANCE DOCUMENTATION APPROVAL SHEET			11-8-89-6 FORM PAGE 1 OF 1								
P.O. NO./CONTRACT	SPEC. NO.	FILE NO.	DATE								
<p>DISTRIBUTION MADE TO:</p> <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;"><input type="checkbox"/> _____</td> <td style="width: 50%;"><input type="checkbox"/> _____</td> </tr> <tr> <td><input type="checkbox"/> _____</td> <td><input type="checkbox"/> _____</td> </tr> <tr> <td><input type="checkbox"/> _____</td> <td><input type="checkbox"/> _____</td> </tr> </table>			<input type="checkbox"/> _____	<input type="checkbox"/> _____	<input type="checkbox"/> _____	<input type="checkbox"/> _____	<input type="checkbox"/> _____	<input type="checkbox"/> _____	<p style="text-align: center;"><u>LEGEND</u></p> <p>1 Approved for use.</p> <p>2 Approved with comments for interim use. Incorporate comments and resubmit.</p> <p>3 Not approved. Do not use.</p>		
<input type="checkbox"/> _____	<input type="checkbox"/> _____										
<input type="checkbox"/> _____	<input type="checkbox"/> _____										
<input type="checkbox"/> _____	<input type="checkbox"/> _____										
DOCUMENT	REVISION	DESCRIPTION	APPROVAL STATUS (See Legend Above)								
			1	2	3						
APPROVED BY:			APPROVAL DATE:								

Figure 3. Sample Quality Assurance Documentation Approval Sheet.

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INTEROFFICE MEMO

DATE:

TO: Procurement

FROM: Director, Quality Assurance

SUBJECT: Qualified Suppliers List (QSL), Revision _____

The attached Qualified Suppliers List contains those suppliers that have been evaluated by the Quality Assurance and found to be acceptable for procurement of Quality level I and II applications.

Procurement shall be limited to the QSL Suppliers at the location noted, for the products or services specified. In the event restrictions apply, Quality Assurance will specify alternate methods to compensate for supplier program deficiencies, i.e., Source Surveillance, Testing After Receipt, Calibration by an Approved Sources, etc.

QSL Cover Page Change Notices will be generated to remove supplies or incorporate new approved suppliers to the QSL as suppliers are evaluated and approved as an interim measure until the QSL is revised.

Director, Quality Assurance

cc:

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QUALIFIED SUPPLIERS LIST (QSL)

SUPPLIERS NAME AND LOCATION	SPEC NO. (IF APPLICABLE)	PRODUCT/ SERVICE	RESTRICTIONS	REMARKS	CODE CERT/ EXP. DATE	NEXT EVAL. DATE	NEXT ADDIT. DATE	QA MANUAL REV/DATE

Figure 4. Sample QSL Transmittal Letter and QSL forms (continued).

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SUPPLIERS NAME AND LOCATION	SPEC NO. (IF APPLICABLE)	PRODUCT/ SERVICE	RESTRICTIONS	REMARKS	CODE CERT/ EXP. DATE	NEXT EVAL. DATE	NEXT AUDIT DATE	QA MANUAL REV/DATE
(Requires Rev Insp Funct Test or Cal- ibration)								

Figure 4. Sample QSL Transmittal Letter and QSL forms (continued).

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QUALIFIED SUPPLIERS LIST		11-8-89-8
DELETION NOTICE		FORM PAGE 1 OF 1
SUPPLIER NAME:		
SUPPLIER ADDRESS:	PRODUCT SCOPE:	
BASIS FOR DELETION:		
EVALIATOR:	DATE:	
DISTRIBUTION:		
<input type="checkbox"/> ORIGINAL REQUESTOR _____		
<input type="checkbox"/> PURCHASING AGENT _____		
<input type="checkbox"/> PREVIOUS SUPPLIER USERS _____		
THE ABOVE REFERENCED SUPPLIER IS SCHEDULED TO BE DELETED FROM THE _____ ON _____. PROVIDE WRITTEN JUSTIFICATION PRIOR TO THIS DATE SHOULD CONTINUED MAINTENANCE OF THIS SUPPLIER BE REQUIRED.		
JUSTIFICATION:		
SIGNATURE:	DATE:	
<input type="checkbox"/> APPROVED <input type="checkbox"/> DISAPPROVED		
DIRECTOR, QUALITY ASSURANCE _____ <div style="display: flex; justify-content: space-between; width: 100%;"> Signature Date </div>		

Figure 6. Sample QSL Deletion Notice.