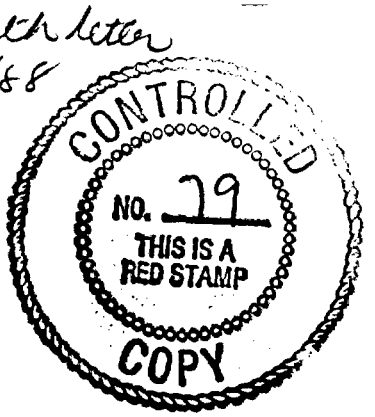
received with letter dated 9/11/88



WMPO Quality Management Procedures (QMPs)

Table of Contents

QMP No.	QMP Title	Revision No.
QMP-01-01	Organization	0
QMP-01-02	Stop Work	0
QMP-02-01	Indoctrination and Training	0
QMP-02-02	Qualification of Quality Assurance Audit Personnel	1
QMP-03-01	Peer Review	0
QMP-04-01	Procurement Document Control	0
QMP-05-01	Preparation and Control of Quality Management Procedures	1
QMP-06-03	Document Review/Acceptance/ Approval	1
QMP-07-03	Control of Purchased Items and Services	0
QMP-15-01	Nonconformance Control	0
QMP-16-01	Corrective Action	0
QMP-16-02	Trend Analysis	1
QMP-16-03	Standard Deficiency Reporting System	0
QMP-18-01	Audit System for the Waste Management Project Office	2
QMP-18-02	Surveillance	0

Date: April 11, 1988

102.7
WM-11
NH43

Title

No. QMP-01-02 Rev. 0

Effective Date 4/11/88

1.0 PURPOSE AND SCOPE

This procedure establishes the Waste Management Project Office (WMPO) methodology and responsibilities for suspending a WMPO, Nevada Test Site (NTS) Support Contractor, Participating Organization, or WMPO supplier's activity that has been identified as a significant condition adverse to quality requiring correction prior to resumption of the affected activity.

2.0 APPLICABILITY

This procedure applies to WMPO staff personnel who observe or are made cognizant of a significant condition adverse to quality regarding a Quality Assurance (QA) Level I or II activity performed by WMPO, NTS Support Contractor, Participating Organization, or a WMPO supplier.

3.0 DEFINITIONS

3.1 STOP WORK ORDER (SWO)

A letter issued by authorized WMPO personnel to cause the suspension of an activity that is not being conducted in compliance with the applicable Nevada Nuclear Waste Storage Investigations (NNWSI) Project, WMPO, or QA Program requirement, plan, procedure, instruction, drawing, or procurement document, and requires correction prior to resumption of the affected activity.

3.2 CONDITION ADVERSE TO QUALITY

An all-inclusive term used in reference to any of the following: failures, malfunctions, deficiencies, defective items, and nonconformances.

3.3 SIGNIFICANT CONDITION ADVERSE TO QUALITY

A condition adverse to quality which, if not corrected, could have a serious affect on safety or operability.

APPROVED BY

Project Manager, T&MSS	WMPO Project Quality Manager	WMPO Project Manager
W Macnab	James Blaylock	for
Date March 7, 1988	Date 3/21/88	Date 3/21/88

4.0 RESPONSIBILITIES

4.1 INITIATOR

WMPO staff personnel (hereafter referred to as Initiators) are responsible for immediately notifying the Manager of the Audits and Surveillances Division (A&SD) of a significant condition adverse to quality which may warrant a recommendation to stop all or specifically identified portions of work relating to the affected activity, and for preparing a Standard Deficiency Report (SDR) (see QMP-16-03, Standard Deficiency Reporting System). The Project QA Department Manager or WMPO Project Quality Manager (PQM) shall be notified of potential stop work conditions when the A&SD Manager is not available.

4.2 AUDITS AND SURVEILLANCES DIVISION MANAGER

The A&SD Manager is responsible for convening and participating in meetings to evaluate SDRs to determine the need for issuing SWOs, and coordinating verification of corrective action measures prior to closing the associated SWO.

4.3 PROJECT QUALITY ASSURANCE DEPARTMENT MANAGER

The Project QA Department Manger is responsible for evaluating SDRs to determine the need for issuing SWOs; preparing and approving stop work recommendation letters for NTS Support Contractors, Participating Organizations, and WMPO suppliers' activities; and preparing and approving stop work notification letters for WMPO activities.

4.4 WMPO PROJECT QUALITY MANAGER (PQM)

The WMPO PQM is responsible for evaluating SDRs to determine the need for stopping affected work, approving stop work recommendation letters, and approving stop work notification letters (SWOs) for WMPO work.

4.5 WMPO PROJECT MANAGER

The WMPO Project Manager is responsible for approving recommendations to issue or close SWOs, as appropriate. The WMPO Project Manager has been granted authority to act as the Contracting Officers Technical Representative (COTR) to issue and close out SWOs for Lawrence Livermore National Laboratory (LLNL), Sandia National Laboratories (SNL), and Los Alamos National Laboratory (LANL). The actual stop work notification letter shall be signed, dated, and issued by the WMPO Project Manager. In addition, the WMPO Project Manager has been designated as the Contract Administration Representative (CAR) by the Contract Administration Representative Authority (CARA) with the authority to recommend to the U.S. Department of Energy Nevada Operations Office (DOE/NV)

Assistant Manager for Administration (AMA) that Reynolds Electrical and Engineering Company (REECo), Holmes and Narver (H&N), Fenix and Scisson (F&S), or U.S. Geological Survey (USGS) activities be stopped or permitted to continue, as appropriate. The actual stop work notification letter and letter closing the SWO (see Section 5.10) shall be signed, dated, and issued by the AMA.

5.0 PROCEDURE

5.1 IDENTIFICATION

WMPO staff personnel who observe or are made cognizant of potential stop work conditions in the course of performing QA audits or surveillances of NNWSI Project Participants or WMPO suppliers, conducting document reviews, or during the normal course of business shall immediately notify the A&SD Manager. Potential stop work conditions should be reported to the A&SD Manager any time they are observed. This notification by the Initiator shall be made by personal contact, telephone conversation, or telex. The Initiator shall provide clear, concise, objective information, including the requirements violated and the reason the SWO should be issued. An SDR designated as Severity Level I (see QMP-16-03), shall be prepared by the Initiator within 24 hours of the notification.

5.2 INITIAL EVALUATION

The SDR shall be promptly provided to the A&SD Manager who shall convene a meeting with the Project QA Department Manager and WMPO PQM to determine the need for the SWO. When the condition reported in the SDR is a technical concern, the cognizant WMPO Branch Chief shall participate in this evaluation. If the evaluation of the SDR reveals a significant condition adverse to quality or repeatedly unacceptable performance, and the WMPO PQM determines the affected activity must be stopped to preclude further degradation of the situation, a stop work recommendation letter shall be prepared (see Section 5.3.4 if the SDR applies to a WMPO activity).

5.3 RECOMMENDATION TO STOP WORK

5.3.1 Stop Work Recommendation Letter

When the SDR pertains to a Participating Organization, NTS Support Contractor, or WMPO supplier's activities, the stop work recommendation letter shall be prepared by the Project QA Department Manager and shall include the following information:

1. Specific description of the activities or portions of the activities to be stopped.
2. Description of the deficiency.
3. Responsible organization.
4. Action required to resolve the adverse condition and prevent recurrence.
5. Effective date of the SWO.
6. Instructions regarding the content and due date of the response to the SWO (see Section. 5.8).

5.3.2 Approval of Stop Work Recommendation Letter

The stop work recommendation letter shall be signed and dated by the Project QA Department Manager and forwarded with the related SDR to the WMPO PQM for approval. The WMPO PQM shall sign and date the stop work recommendation letter and transmit it and the associated SDR to the WMPO Project Manager for his/her approval.

5.3.3 Stop Work Notification Letter

If the WMPO Project Manager approves the stop work recommendation, he/she shall authorize the preparation of a stop work notification letter which shall be issued to the responsible organization as outlined in Section 5.5, 5.6, or 5.7, as appropriate. The SWO notification letter shall provide the same information as the corresponding stop work recommendation letter.

5.3.4 Stop Work Notification Letter Issued to WMPO

When the SDR pertains to a WMPO activity, the Project QA Department Manager shall prepare and approve a stop work notification letter that contains the information required in Section 5.3.1. This notification letter shall be issued to the WMPO Project Manager following approval by the WMPO PQM. The WMPO Project Manager shall respond to the SWO as delineated in Section 5.8.

5.4 VOIDING A RECOMMENDATION TO STOP WORK

5.4.1 Justification for Voiding a Stop Work Recommendation Letter

When the WMPO Project Manager determines that a recommendation to stop work (excluding those relating to WMPO activities) is not justified, he/she shall so advise the WMPO PQM in writing and provide the justification for voiding the stop work recommendation letter. The related SDR shall be processed and closed out in accordance with QMP-16-03.

5.4.2 Resolution of Disputes

Disputes between the WMPO PQM and others regarding the issuance or closure of the SWO shall be elevated to the WMPO Project Manager for resolution. In addition, the WMPO PQM has the authority to request that the DOE/NV Manager resolve disputes between the WMPO PQM and the WMPO Project Manager regarding the issuance or closure of the SWO. When the WMPO PQM is not satisfied with the DOE/NV Manager's resolution of a dispute, he/she shall notify the Office of Geologic Repositories (OGR) QA Manager and request resolution of the matter.

5.5 STOP WORK OF LLNL, SNL, AND LANL

The WMPO Project Manager shall issue the stop work notification letter and associated SDR (see Section 5.3) to the responsible organization's Technical Project Officer (TPO) and shall provide copies of the letter and associated SDR to the DOE/NV AMA and to the responsible DOE Operations Office Contracting Office; i.e., the DOE Contracting Officer, San Francisco Operations Office for LLNL, and the DOE Contracting Officer, Albuquerque Operations Office for SNL and LANL.

5.6 STOP WORK OF REECO, H&N, F&S AND USGS

The WMPO Project Manager shall forward the stop work notification letter and associated SDR (see Section 5.3) to the AMA, who shall sign and issue the letter and associated SDR to the responsible organization's TPO and QA Manager

5.7 STOP WORK OF WMPO SUPPLIERS

The WMPO Project Manager shall issue the stop work notification letter to the affected supplier's management via the cognizant purchasing agent.

5.8 RESPONSE TO THE SWO

The SWO shall require the responsible organization to notify the WMPO Project Manager that activities within the scope of the SWO have been stopped. Additionally, the responsible organization shall be instructed to respond to the SWO and associated SDR within 20 working days of the effective date of the SWO. The responsible organization shall document the cause of the adverse condition, the corrective action planned and the estimated date of completion, and measures established to preclude recurrence of the adverse condition in the appropriate blocks of the SDR; and shall return the SDR to the WMPO PQM. Review and approval of responses shall be accomplished as described in QMP-16-03. When the responsible organization desires to revise the WMPO approved response to the SDR (e.g., request for a 30 day extension in regard to the completion date of corrective action), the proposed revision to the response shall be submitted to and approved by WMPO prior to implementation.

5.9 CLOSURE OF THE SWO

5.9.1 Verification of Corrective Action

The WMPO PQM, Project QA Department Manager, A&SD Manager, and cognizant WMPO Branch Chief, as appropriate, shall review the SWO, SDR, and related response to determine the extent of required WMPO verification activities. Based on the date(s) established by the responsible organization for completion of required corrective action, the A&SD Manager shall schedule and perform verification of the adequacy of required corrective action and the measures taken to prevent recurrence.

5.9.2 Acceptance of Corrective Action Measures

Upon completion of verification activities with acceptable results, the SDR shall be processed for closure. The Project QA Department Manager and the WMPO PQM shall review the documentation relating to the SWO verification activities and the closed SDR. If all required actions have been verified as acceptable, the WMPO PQM shall notify the WMPO Project Manager of the acceptability of the corrective action measures.

5.10 RESUMPTION OF ACTIVITIES

The WMPO Project Manager shall take the necessary measures to ensure that the responsible organization is formally notified that the SWO and associated SDR have been closed and that continuation of the affected activities is permitted. The SWO close out letter with the associated SDR shall be processed and distributed to the responsible organization in accordance with Section 5.5, 5.6, or 5.7, as appropriate. When the SWO applies to WMPO activities, the WMPO PQM shall formally notify the WMPO Project Manager that the SWO and associated SDR have been closed and that continuation of the affected activities may continue.

6.0 REFERENCES*

QMP-16-03, Standard Deficiency Reporting System.

QMP-17-01, Quality Assurance Records.

*Latest Revision

7.0 FIGURES

Not Applicable.

8.0 QA RECORDS

The WMPO PQM shall ensure the following QA Records resulting from implementation of this procedure are processed and maintained in accordance with QMP-17-01, Quality Assurance Records:

1. Stop work recommendation letters and associated SDRs.
2. Stop work notification letters.
3. Letters voiding the SWO recommendations.
4. Notification letters to close the SWOs.
5. Other associated documentation relating to SWOs.

WASTE MANAGEMENT PROJECT OFFICE

QUALITY MANAGEMENT PROCEDURE

N-QA-015
12/87

Title	No. QMP-04-01 Rev. 0
PROCUREMENT DOCUMENT CONTROL	Effective Date 4/11/88
	Page 1 of 8

1.0 PURPOSE AND SCOPE

This procedure establishes the Waste Management Project Office (WMPO) requirements and responsibilities for preparing, reviewing, approving, and controlling procurement documents and related changes when Science Applications International Corporation/Technical and Management Support Services (SAIC/T&MSS) performs procurement in support of the WMPO.

2.0 APPLICABILITY

This procedure applies to SAIC for the procurement of Quality Assurance (QA) Level I and II items and services in support of the WMPO activities. This procedure also applies to the procurement of QA Level III items and services as delineated in Section 5.1.

3.0 DEFINITIONS

3.1 ITEM

Item is 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.

3.2 PROCUREMENT DOCUMENTS

Procurement documents are the purchase requisition (PR), purchase order (PO), subcontracts, and drawings, specifications, procedures, or instructions used to define requirements for purchase and changes to any of the above listed document types.

3.3 PURCHASER

The Purchaser is the organization responsible for the issuance of PRs, product specifications, and for obtaining all necessary approvals prior to initiation of purchase.

APPROVED BY

Project Manager, T&MSS	WMPO Project Quality Manager	WMPO Project Manager
W Macnatt	James Blaylock	for
Date March 7, 1988	Date 3/21/88	Date 3/21/88

3.4 REQUESTOR

The requestor is the person who prepares the PR package.

3.5 SERVICE

Service is the performance of activities such as design, fabrication, inspection, nondestructive examination, investigation, site characterization, calibration, repair, or installation.

3.6 SUPPLIER

A supplier is an individual or organization who has furnished items or services required by a procurement document. It is an all inclusive term used in place of any of the following: vendor, seller, contractor, subcontractor, fabricator, consultant, and their subtier levels.

4.0 RESPONSIBILITIES

4.1 PROJECT MANAGER (PM), T&MSS

The PM, T&MSS approves the final PR package.

4.2 CONTRACT ADMINISTRATION

Contract Administration processes the final PR package for the requestor, forwards the final PR package to the purchasing agent, and maintains a copy of the procurement documents for each procurement.

4.3 COST ACCOUNT MANAGER (CAM)

The responsible CAM approves the final PR package developed by individuals under his/her supervision and evaluates supplier responses to Requests for Quotations/Proposals (RFQs/RFPs). The CAM also reviews supplier selection, reviews PRs, POs, subcontracts, and related requests for changes.

4.4 PROJECT QUALITY ASSURANCE (QA) DEPARTMENT MANAGER

The Project QA Department Manager reviews and approves the final PR package to ensure that the conditions specified in Section 5.2 are satisfactory.

4.5 REQUESTOR

The requestor of items or services develops the PR package in accordance with this procedure, and obtains all necessary approvals of the final PR package prior to forwarding the final PR package to Contract Administration.

4.6 PURCHASING AGENT

The purchasing agent prepares RFP/RFQs; provides copies of suppliers' responses to RFP/RFQs to the CAM and Project QA Department Manager; prepares POs and subcontracts and related changes upon request; obtains the necessary approvals of POs, subcontracts, and related changes prior to transmittal of these documents to the suppliers; and properly documents and maintains the records of SAIC corporate purchasing actions. The SAIC Corporate Purchasing Office is the office of record for procurement documents.

5.0 PROCEDURE

5.1 INITIATION OF A PR

5.1.1 Requestors procuring QA Level I, II, or III items or services shall prepare a PR using the SAIC Corporate PR form or equivalent and shall include the appropriate attachments. The requestor shall ensure the PR is prepared in accordance with instructions contained in the SAIC Corporate Purchasing Policy and Procedure Manual (Instruction D-4, Instructions for the Preparation and Processing of Purchase Requisitions).

5.1.2 Requestors procuring QA Level III items or services shall identify QA Level III on the PR form; specify quality assurance requirements, as appropriate; and obtain the Project QA Department Manager's approval of the QA Level and QA requirements, as appropriate, prior to further processing of the PR in accordance with SAIC Corporate Purchasing Instructions. The following requirements of this QMP apply only to QA Level I or II items or services.

5.2 PR FORM

5.2.1 The PR form, with attachments, constitutes a PR package. The PR package shall include the following, as appropriate:

1. Identification of the assigned QA level.

2. Identification of the scope of work and items or services to be procured including quantities, part number(s), and technical requirements.

3. Drawings, identify the applicable revision(s).

4. Specifications, codes, standards, regulations, procedures, instructions; identify the applicable revision(s) and/or date(s).

5. QA requirements, including applicable codes, standards, procedures, instructions, and regulatory requirements (revision level and/or date of the referenced document shall be identified), that the items or services must meet (these may be separate documents included or attached to the technical specifications).

6. Requirements for retention, control, maintenance, validation, and transmittal or other disposition of supplier QA Records.

7. Provisions for WMPO and/or its authorized representative right-of-access to the supplier's facilities, (including subtier supplier facilities), QA Records, and work documents for inspection, surveillance, and audit.

8. Requirements for reporting and approving the disposition of supplier nonconformances.

9. Requirements that suppliers and subtier suppliers have a documented QA program based upon the type and use of the item or service being procured for implementing the requirements of the procurement documents. Suppliers' QA programs shall be approved by the WMPO QA Organization prior to the issuance of the purchase order or subcontract.

10. Identification of documents to be provided by the suppliers at all tiers of procurement, and the date(s) the documents are to be submitted.

11. Requirements for spare/replacement parts or assemblies and the delineation of technical and QA related data required for ordering.

12. Requirements that the supplier must incorporate appropriate QA requirements in procurement documents issued to subtier suppliers.

13. Test and inspection requirements, (consideration should be given to whether proper performance of the item can be determined during or after its use).

14. Unusual occurrence reporting requirements (see QMP-15-02, Unusual Occurence Reporting).

15. Acceptance and rejection criteria.

5.2.2 The final PR package shall be processed by Contract Administration in accordance with SAIC Corporate Purchasing Instruction D-5, Instructions for Preparation and Processing of Purchase Requisitions, based on the information provided in the PR package using a serialized PR form or equivalent. The final PR package shall be forwarded to the Project QA Department Manager.

5.3 TECHNICAL ORGANIZATION AND QA REVIEWS

5.3.1 Review Requirements

The technical organization and QA Department shall review the final PR package to verify that the PR package includes appropriate provisions for ensuring the item or service meets specified requirements. These reviews shall be performed by personnel who have access to pertinent information and who have adequate understanding of the requirements and intent of the PR package.

5.3.2 Technical Organization Review

The CAM shall review the final PR package to ensure the scope of work and technical requirements are correctly and adequately delineated.

5.3.3 Project QA Department Manager Review

The Project QA Department Manager shall review the final PR package to ensure the correct QA level has been assigned; adequate and correct QA requirements of the WMPO QA Program Plan and supporting documents have been incorporated to ensure items or services will meet specified requirements; the item is inspectable; adequate acceptance and rejection criteria have been identified; and the requirements of this procedure have been adequately implemented. The Project QA Department Manager shall also ensure that the requirements defined by drawings, specifications, or other applicable documents were not changed by any special provisions added during preparation of the final PR package.

5.4 TECHNICAL ORGANIZATION AND QUALITY ASSURANCE DEPARTMENT APPROVAL

Following the CAM and Project QA Department Manager's reviews of the final PR package, the CAM and Project QA Department Manager shall negotiate required changes or additions, as appropriate, with the requestor. The Project QA Department Manager shall sign the final PR package and return it to the requestor for the purpose of obtaining additional required approvals. The requestor shall present the final PR package to the CAM and the PM, T&MSS for approval. The final PR package shall be provided to Contract Administration by the requestor following approval of the PM, T&MSS. Contract Administration shall forward the final PR package to the responsible purchasing agent and maintain a copy of the PR package in the Contract Administration Division files.

5.5 DEVELOPMENT OF PO OR SUBCONTRACT

5.5.1 RFQ/RFP

5.5.1.1 The purchasing agent shall prepare a RFQ or a RFP based on the PR package in accordance with the SAIC Corporate Purchasing Instruction D-4, Instructions for Preparation and Processing Requests for Quotations/Proposals. The RFQ/RFP shall be transmitted to prospective suppliers by the purchasing agent with information copies of the RFQ/RFP being provided to the requestor, the CAM, and the Project QA Department Manager.

5.5.1.2 When the responses to RFQ/RFPs are received from supplier(s), the purchasing agent shall make copies available for review and evaluation by the Project QA Department Manager, the requestor, and the CAM if requested (see QMP-07-03, Control of Purchased Items and Services). Changes (technical, quality, quantity, etc.) resulting from RFQ/RFP evaluations and precontract negotiations shall be reviewed by the requestor, the CAM, and the Project QA Department Manager to analyze and determine their effects on the quality of the item or service. These reviews shall include the following considerations:

1. Appropriate content requirements specified in Section 5.2.
2. Determination of additional or modified design or scientific investigation criteria.
3. Analysis of exceptions or changes requested or specified by the supplier. Determination of the effects such changes may have on the intent of the procurement documents or quality of the item or service.

5.5.1.3 Changes shall be documented in a change to the PR package which shall be subject to the same reviews/approvals of the original PR package (see Section 5.3).

5.5.2 Supplier Selection

The CAM, with input from the requestor and the Project QA Department Manager, shall select the supplier in accordance with QMP-07-03 when satisfied that all the procurement requirements have been met. This selection shall be documented in a memo from the CAM or the Project QA Department Manager to the purchasing agent.

5.5.3 Purchase Order/Subcontract Preparation and Approval

5.5.3.1 The purchasing agent shall prepare the PO or subcontract and assign a PO or subcontract number in accordance with SAIC Corporate Purchasing Instruction D-6, Instructions for Preparation and Processing of Purchase Orders/E-1, Subcontracts, utilizing the form directed by D-6/E-1 or equivalent

form. He/she shall ensure all requirements specified in the final PR package are included in the subcontract or PO. In addition, they will also ensure all design documents referenced in the subcontract or PO have been formally approved.

5.5.3.2 Prior to the award of the PO or subcontract, the purchasing agent shall transmit a copy of the PO or subcontract to the Project QA Department Manager and CAM who shall review the document, ensuring that the final PR package and the PO are in agreement. If there are discrepancies, the Project QA Department Manager shall immediately document the discrepancies and notify the purchasing agent and the requestor of the recommended action.

5.5.3.3 After resolution of discrepancies, as appropriate, the Project QA Department Manager and the CAM shall document their approval in a memo to the purchasing agent. the po or subcontract shall be issued by the purchasing agent to the supplier with a legible photo copy of the PO transmitted to the requestor, Project QA Department Manager, CAM, and Contract Administration Division files.

5.5.3.4 The purchasing agent shall ensure all SAIC Corporate Purchasing actions are properly documented (see SAIC Corporate Purchasing Instruction D-8, Purchase Order and Subcontract Documentation Requirements) and that legible, reproducible copies of these documents are retained in the SAIC Corporate Purchasing files. Copies of procurement documents (see Section 3.2) shall be maintained in the Contract Administration Division files.

5.5.4 Procurement Document Changes

Changes to POs or subcontracts are subject to the same review and approval process as the original documents (see SAIC Corporate Purchasing Instruction D-7, Instructions for Processing Changes or Cancellations to Purchase Requisitions and Purchase Orders).

5.6 ADMINISTRATION OF PURCHASE ORDERS AND SUBCONTRACTS

Administration of POs and subcontracts shall be in accordance with SAIC Corporate Purchasing Instruction D-10, Administration of Purchase Orders and Subcontracts and Supplier Surveillances.

5.7 SPARE AND REPLACEMENT PARTS

Spare and replacement parts shall be subject to controls at least equivalent to those for the original equipment. The technical and quality requirements shall be equal to or more extensive than the original requirements. If QA or technical requirements of the original item cannot be determined, then an

engineering evaluation shall be conducted by the cognizant CAM and QA Department Manager to establish the requirements. The evaluation shall consider the interchangeability, function, and safety of the item. The evaluation shall be documented by the CAM.

6.0 REFERENCES*

QMP-07-03, Control of Purchased Items and Services.

QMP-15-02, Unusual Occurrence Reporting.

QMP-17-01, Quality Assurance Records.

SAIC Corporate Purchasing Instructions:

D-4, Instructions for Preparation and Processing of Requests for Quotations/Proposals.

D-5, Instructions for Preparation and Processing of Purchase Requisitions.

D-6, Instructions for Preparation and Processing of Purchase Orders.

D-7, Instructions for Processing Changes or Cancellations to Purchase Requisitions and Purchase Orders.

D-8, Purchase Order and Subcontract Documentation Requirements.

D-10, Administration of Purchase Orders and Subcontracts and Supplier Surveillance.

E-1, Subcontracts.

*Latest Revision

7.0 FIGURES

The forms identified in the referenced SAIC Corporate Purchasing Instructions or equivalent forms shall be used for SAIC/T&MSS procurements.

8.0 QA RECORDS

Procurement documents, including all changes, SAIC Corporate Purchasing Instructions, RFQ/RFPs evaluations, supplier selection memos, PO/subcontract approval memos, and spare and replacement parts evaluations, shall be maintained in accordance with QMP-17-01, Quality Assurance Records.

Complete Revision

WASTE MANAGEMENT PROJECT OFFICE

QUALITY MANAGEMENT PROCEDURE

N-QA-015
12/87

Title	No. QMP-05-01 Rev. 1
PREPARATION AND CONTROL OF QUALITY MANAGEMENT PROCEDURES	Effective Date 4/11/88
	Page 1 of 12

1.0 PURPOSE AND SCOPE

This procedure delineates the Waste Management Project Office (WMPO) methodology and responsibilities for controlling the preparation, review, approval, distribution, and revision of Quality Management Procedures (QMPs) including interim changes to QMPs.

2.0 APPLICABILITY

This procedure applies to the WMPO staff personnel engaged in the preparation, review, approval, distribution, or revision of QMPs including interim changes (Interim Change Notices, ICNs) to QMPs.

3.0 DEFINITIONS

3.1 QUALITY MANAGEMENT PROCEDURE

An approved and controlled document that describes the methodology and responsibilities for implementing specific requirements that have been established in the WMPO Quality Assurance Program Plan (QAPP), WMPO/88-1 (formerly NVO-196-18).

3.2 INTERIM CHANGE NOTICE

An approved and controlled document that is used to temporarily change an approved QMP prior to revising the affected QMP in accordance with this procedure.

4.0 RESPONSIBILITIES

4.1 WMPO PROJECT MANAGER

The WMPO Project Manager is responsible for the approval of QMPs, QMP revisions, and ICNs in accordance with this procedure and QMP-06-03, Document Review/Acceptance/Approval.

APPROVED BY

Project Manager, T&MSS	WMPO Project Quality Manager	WMPO Project Manager
W Macnab	James Blaylock	Mitchell Kenna
Date March 7, 1988	Date 3/21/88	Date 3/24/88

4.2 WMPO PROJECT QUALITY MANAGER (PQM)

The WMPO PQM is responsible for coordinating the preparation, review, approval, and maintenance of QMPs, including revisions and ICNs in accordance with this procedure and QMP-06-03. In addition, the WMPO PQM is responsible for ensuring QMPs are maintained and updated as necessary to comply with current, applicable requirements, and, for ensuring QMPs, QMP revisions, and ICNs are distributed to designated individuals who are required to perform the activities affecting quality that are addressed in QMPs.

4.3 WMPO BRANCH CHIEFS

WMPO Branch Chiefs are responsible for the review of draft QMPs, including revisions and ICNs in accordance with this procedure and QMP-06-03.

4.4 PROJECT MANAGER, TECHNICAL MANAGEMENT & SUPPORT SERVICES (T&MSS)

The Project Manager, T&MSS is responsible for the approval of QMPs, including revisions and ICNs in accordance with this procedure and QMP-06-03.

4.5 DEPARTMENT MANAGERS

Department Managers, with the exception of the Project QA Department Manager, are responsible for the review of draft QMPs, including revisions and ICNs in accordance with this procedure and QMP-06-03. The review of QMPs, including revisions and ICNs by the Project QA Department Manager shall be coordinated with the WMPO PQM, and comments identified during the review of these documents shall be included with those of the WMPO PQM and provided to the Document Author.

4.6 WMPO STAFF

WMPO staff personnel are responsible for notifying the WMPO PQM of the need for a new QMP or revision of an approved QMP.

4.7 DOCUMENT AUTHOR

The Document Author, as designated by the WMPO PQM, is responsible for preparing QMPs, QMP revisions, and ICNs; resolving comments received regarding the review of draft QMPs, QMP revisions, and ICNs; and obtaining required approvals of these documents prior to their issuance.

4.8 TECHNICAL DATA MANAGEMENT BRANCH

The Technical Data Management Branch is responsible for the controlled distribution of QMPs, including revisions and ICNs.

5.0 PROCEDURE

5.1 PREPARATION OF QMPS AND ICNS

5.1.1 Preparation of QMPs

5.1.1.1 The WMPO PQM shall designate an individual (hereafter referred to as Document Author) to prepare a new (i.e., original) QMP or to revise an existing QMP. The Document Author shall prepare a draft of the QMP which shall be consistent with the QMP format described in this procedure.

5.1.1.2 Each QMP shall be comprised of eight section format headings. When a section format heading does not apply to a particular QMP and that format heading is identified as "optional" (see below), the Document Author shall include the format heading in the QMP and annotate the format heading as being "Not Applicable." The format heading numbers, titles, and contents shall be as follows:

1. SECTION 1.0, PURPOSE AND SCOPE - This section shall state that the purpose of a QMP is to establish the WMPO methodology and responsibilities for performing a specific activity (scope) affecting quality.

2. SECTION 2.0, APPLICABILITY - This section shall delineate the application and boundaries, including exceptions and restrictions, of the QMP.

3. SECTION 3.0, DEFINITIONS - Definitions shall be provided to clarify the terminology used in the QMP. This section is optional.

4. SECTION 4.0, RESPONSIBILITIES - The titles and major responsibilities of the individuals or organizations responsible for implementing the QMP shall be identified.

5. SECTION 5.0, PROCEDURE - This section shall address the specific subject matter being presented in the QMP. The subject matter shall establish and detail the methodology required to perform the activities in a manner that is fully responsive to applicable requirements, codes, and standards. This section shall include or reference appropriate quantitative or qualitative acceptance criteria, as necessary, for determining that prescribed activities have been satisfactorily accomplished. Forms and attachments that are required to implement the QMP shall be referenced as figures.

6. SECTION 6.0, REFERENCES - All documents that are referenced in the text shall be listed, including the date or revision of the referenced documents or state "Latest Revision." This section is optional.

7. SECTION 7.0, FIGURES - Forms and attachments which are used to implement the QMP shall be listed in this section as figures. Each figure shall be sequentially numbered in the same order as the figures are referenced in the QMP beginning with Figure 1, Figure 2, etc. This section is optional.

8. SECTION 8.0, QA RECORDS - Documents that are generated or completed as a result of implementation of the QMP and are considered to be QA Records shall be listed.

5.1.1.3 Where necessary, a section of a QMP can be divided into subsections, sub-subsections, etc., as follows:

1.0 SECTION HEADING TITLE

1.1 SUBSECTION HEADING TITLE

1.2 SUBSECTION HEADING TITLE

1.2.1 Sub-subsection Heading Title (Optional)

1.2.2 Sub-subsection Heading Title (Optional)

1.2.1.1 When there is more than one paragraph under a heading title, each paragraph shall be sequentially numbered and prefaced with the number of the appropriate heading title.

1.2.1.2 When there is only one paragraph under a heading title, that paragraph shall not be identified with a unique paragraph number.

5.1.2 Preparation of ICNs

When determined appropriate, the WMPO PQM shall issue an ICN to a QMP. The ICN shall be used as a temporary method to identify changes to an existing QMP. No more than five ICNs shall be issued regarding a specific QMP revision. A QMP shall be revised per Section 5.4.3 following issuance of the fifth ICN against a specific QMP revision. The draft ICN shall be prepared by the Document Author designated by the WMPO PQM who shall ensure the draft ICN delineates the title, identification number, and revision indicator (see Section 5.2.2.2) of the QMP that is being changed; the specific content changes; and the affected QMP section and paragraph numbers.

5.2 REVIEW AND APPROVAL OF QMPS AND ICNS

5.2.1 Review of QMPs and ICNs

The Document Author shall provide a copy of the typed draft QMP or ICN, as appropriate, to each of the required reviewers. QMPs, including revisions and ICNs, shall be reviewed in accordance with QMP-06-03, by the following individuals:

1. WMPO Branch Chiefs.

2. WMPO PQM.

3. Department Managers (excluding the Project QA Department Manager, see Section 4.5).

5.2.2 Approval of QMPs and ICNs

5.2.2.1 The Document Author shall incorporate or resolve the documented comments received from the reviewers. Following resolution of comments, the Document Author shall prepare the QMP or ICN, as appropriate, for approval. QMPs shall be prepared using the QMP Cover Page (page 1 of the QMP only; see Figure 1, QMP Cover Page) and the QMP Continuation Page (page 2 through the last page of the QMP; see Figure 2, QMP Continuation Page). ICNs shall be prepared using the WMPO ICN Form for page 1 of the ICN (see Figure 3, Interim Change Notice) and the ICN Continuation Page (page 2 through the last page of the ICN; see Figure 4, ICN Continuation Page).

5.2.2.2 All pages of a QMP shall include the following:

1. The Title of the QMP which shall be descriptive of the activity or subject to which it applies.

2. The unique, alpha-numerical QMP Identification Number which shall be assigned by the WMPO PQM. The first two-digit, numerical designation following "QMP-" (e.g., 05, 08, 15, etc.) shall relate to the section of the WMPO QAPP that the QMP primarily supports. The second two-digit numerical designation (e.g., 01, 02, 03, etc.) distinguishes the QMP from other QMPs written for the same WMPO QAPP section. These numbers shall be assigned sequentially beginning with 01 as the required QMPs are developed. When a QMP is deleted, the QMP identification number assigned to the deleted QMP shall not be reassigned.

3. The Effective Date of a QMP which shall be specified by the WMPO PQM. This shall be the initial date the QMP is in effect for implementation by WMPO staff personnel when performing activities that are addressed in the QMP.

4. The QMP Page Number which shall identify the specific page number in relation to the total number of pages in the QMP (e.g., Page 1 of 3, Page 2 of 3, etc.).

5. The Revision Indicator of a QMP which shall be the latest approved numeric revision indicator of the specific QMP beginning with Revision 0 for the initial issue. Subsequent revisions of the QMP shall be identified in sequential order (e.g., Revision 1, Revision 2, etc.).

5.2.2.3 All pages of an ICN shall include the following:

1. The Title, Identification Number, and Revision Indicator of the affected QMP (see Section 5.2.2.2).

2. The unique, numerical Identification Number of the ICN. Each ICN issued against a specific QMP revision shall be identified by the WMPO PQM in sequential order (i.e., 1, 2, 3, 4, and 5).

5.2.2.4 The QMP or ICN, as appropriate, shall be forwarded to the Project Manager, T&MSS; WMPO PQM; and the WMPO Project Manager for approval of the QMP or ICN.

5.2.2.5 The Document Author shall ensure the effective date of the QMP, as specified by the WMPO PQM, is typed on each page of the QMP or ICN, as appropriate, prior to transmitting the QMP or ICN to the Technical Data Management Branch for controlled distribution.

5.3 DISTRIBUTION OF QMPS AND ICNS

QMPs and ICNs shall be maintained and controlled in accordance with QMP-06-02, Document Control. The WMPO QAPP, including the QMPs and ICNs, as appropriate, shall be distributed by the Technical Data Management Branch to those individuals designated by the WMPO PQM on the Distribution List of Recipients of a controlled copy of the WMPO QAPP, QMPs, and ICNs in accordance with Nevada Nuclear Waste Storage Investigations (NNWSI) Project Administrative Procedure (AP) 1.5Q, Issuance and Maintenance of Controlled Documents. The Document Author shall revise the WMPO QAPP Table of Contents of QMPS and ICNs to reflect the new or revised QMP or ICN and forward the QMP or ICN, as appropriate, and revised Table of Contents to the Technical Data Management Branch for distribution per NNWSI Project AP 1.5Q.

5.4 REVISIONS TO QMPS

5.4.1 Revision Requirements

QMPs shall be revised as directed by the WMPO PQM to ensure current WMPO QAPP requirements are adequately addressed in implementing procedures.

5.4.2 Identification of the Need for Revision

Any individual assigned to the WMPO staff may identify the need for a QMP to be issued, revised, or deleted in a letter to the WMPO PQM stating the rationale for the proposed change. Following an evaluation of the proposed change, the WMPO PQM shall notify the initiator of the request as to what action, if any, will be taken.

5.4.3 Review and Approval of Revisions

When a revision to a QMP is determined necessary, the WMPO PQM shall designate a Document Author to prepare the revised QMP. The revision to a QMP shall be prepared, reviewed, approved, and distributed in the same manner as the original. The revised section(s) of a QMP shall be identified with a vertical line and the appropriate revision indicator of the QMP in the right-hand margin. Previous revision markings shall be deleted. A QMP that has been extensively revised shall be identified as a "Complete Revision" when transmitted to designated recipients.

6.0 REFERENCES*

WMPO/88-1, WMPO QAPP.

QMP-06-02, Document Control.

QMP-06-03, Document Review/Acceptance/Approval.

QMP-17-01, Quality Assurance Records.

NNWSI-AP 1.5Q, Issuance and Maintenance of Controlled Documents.

*Latest Revision

7.0 FIGURES

Figure 1 - QMP Cover Page.

Figure 2 - QMP Continuation Page.

Figure 3 - Interim Change Notice.

Figure 4 - Interim Change Notice Continuation Page.

8.0 QA RECORDS

The WMPO PQM shall ensure the following QA Records resulting from implementation of this procedure are processed and maintained in accordance with QMP-17-01, Quality Assurance Records:

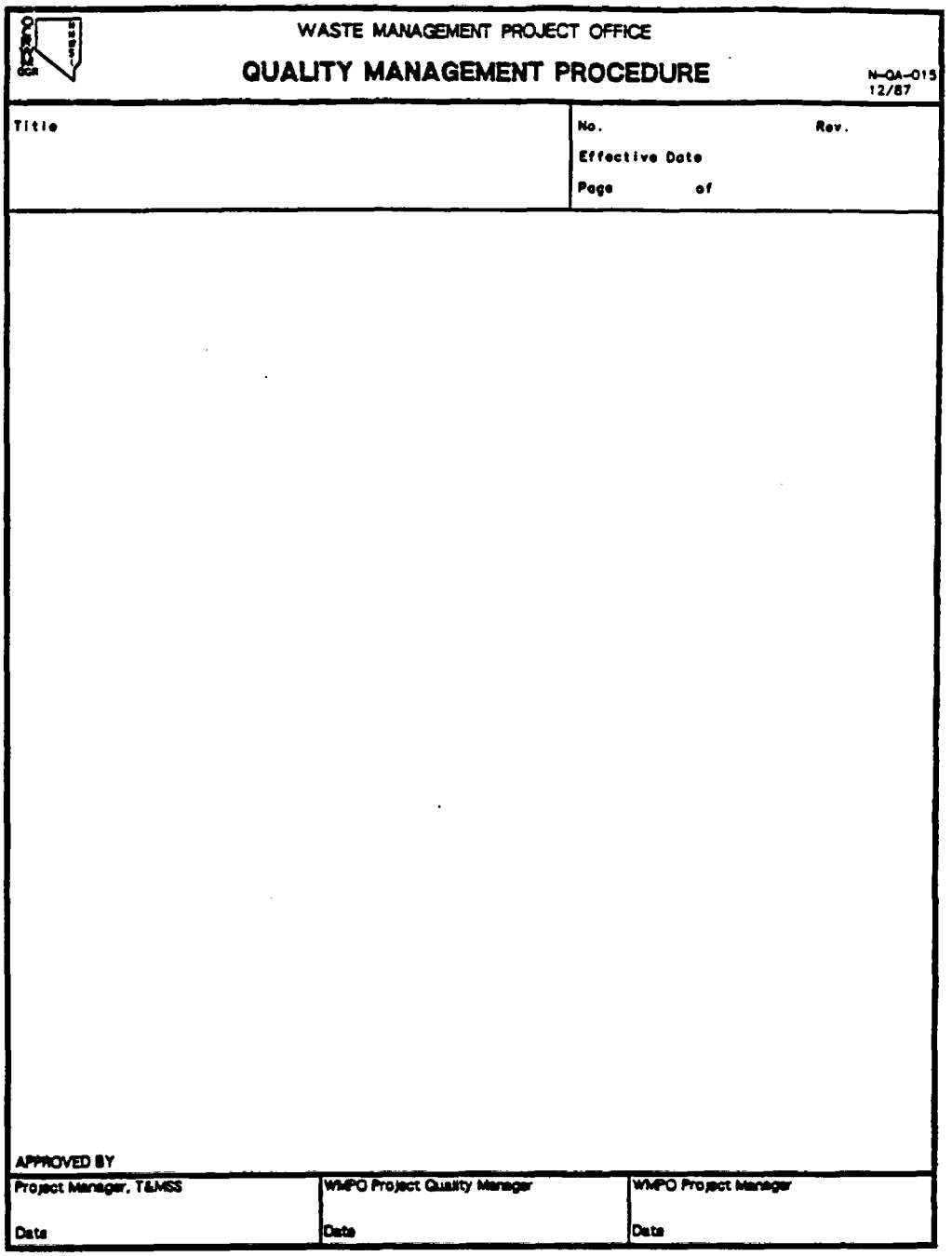
1. A copy of each approved QMP, QMP revision, and ICN.
2. Completed Document Review Sheets (see QMP-06-03) for each approved QMP, QMP revision, and ICN.
3. Requests from WMPO staff to issue, revise, or delete QMPs; and, related WMPO PQM responses regarding the requests.

WASTE MANAGEMENT PROJECT OFFICE

QUALITY MANAGEMENT PROCEDURE

N-QA-016
7/87

Title	No. QMP-05-01 Rev. 1
PREPARATION AND CONTROL OF QUALITY MANAGEMENT PROCEDURES	Effective Date 4/11/88
	Page 9 of 12



WASTE MANAGEMENT PROJECT OFFICE

QUALITY MANAGEMENT PROCEDURE

N-QA-015
12/87

Title	No. Rev.
	Effective Date
	Page of

APPROVED BY

Project Manager, T&MSS	WMPO Project Quality Manager	WMPO Project Manager
Date	Date	Date

Figure 1 - QMP Cover Page

WASTE MANAGEMENT PROJECT OFFICE

QUALITY MANAGEMENT PROCEDURE

N-QA-016
7/87

Title

No. Rev.
Effective Date
Page of

Figure 2 - QMP Continuation Page

WMPO INTERIM CHANGE NOTICE

N-QA-023
2/88

ICN Number:	Effective Date:	Page of

Applies to QMP:
Number _____ Rev. _____ Title _____

REQUIRED CHANGES:

QMP SECTION	CHANGE TO

APPROVALS

Project Manager, T&MSS	WMPO PQM	WMPO Project Manager
Date	Date	Date

Figure 3 - Interim Change Notice

WMPO INTERIM CHANGE NOTICE
CONTINUATION PAGE

N-QA-023
2/88

ICN Number:	Applies to QMP:	Effective Date:	Page of

REQUIRED CHANGES:

Figure 4 - ICN Continuation Page

Title: CONTROL OF PURCHASED ITEMS AND SERVICES

No. QMP-07-03 Rev. 0

Effective Date 4/11/88

1.0 PURPOSE AND SCOPE

This procedure establishes the requirements and responsibilities for controlling Quality Assurance (QA) Level I and II items and services purchased by Science Applications International Corporation/Technical and Management Support Service (SAIC/T&MSS) in support of the Waste Management Project Office (WMPO) including the methodology for supplier qualification, evaluation of supplier performance, and item and service acceptance.

2.0 APPLICABILITY

This procedure applies to QA Level I and II items and services purchased by SAIC/T&MSS in support of the WMPO.

3.0 DEFINITIONS

3.1 CERTIFICATE OF CONFORMANCE

A certificate of conformance is a document signed by an authorized individual that certifies the degree to which items or services meet specified requirements.

3.2 INSPECTION

Inspection is an examination or measurement to verify whether an item or activity conforms to specified requirements.

3.3 ITEM

Item is 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.

3.4 PROCUREMENT DOCUMENTS

Procurement documents are the purchase requisition (PR), purchase order (PO), subcontracts, drawings, specifications, procedures, or instructions used to

APPROVED BY

Project Manager, T&MSS	WMPO Project Quality Manager	WMPO Project Manager
W Macnab	James Blaylock	
Date March 7, 1988	Date 3/21/88	Date 3/21/88

define requirements for purchase and changes to any of the above listed document types.

3.5 PURCHASER

The purchaser is the organization responsible for the issuance of PRs, product specifications, and for obtaining all necessary approvals prior to initiation of purchase.

3.6 SERVICE

Service is the performance of activities such as design, fabrication, inspection, nondestructive examination, investigation, site characterization, calibration, repair, or installation.

3.7 SUPPLIER

A supplier is any individual or organization who furnishes items or services required by a procurement document. It is an all-inclusive term used in place of any of the following: vendor, seller, contractor, subcontractor, fabricator, consultant, and their subtier levels.

3.8 SURVEILLANCE

Surveillance is the act of monitoring or observing to verify whether an item or activity conforms to specified requirements.

4.0 RESPONSIBILITIES

4.1 COST ACCOUNT MANAGER (CAM)

The CAM prepares and approves procurement plans for assigned tasks, evaluates the technical capability of suppliers, evaluates supplier responses to Requests for Quotations/Proposals (RFQ/RFPs), reviews final supplier selection, and approves supplier nonconformance dispositions. The CAM coordinates these assigned responsibilities with the individual who initiated the procurement within their area of responsibility (i.e., Requestor; see QMP-04-01, Procurement Document Control).

4.2 PROJECT QUALITY ASSURANCE DEPARTMENT MANAGER

The Project QA Department Manager evaluates the quality capability of suppliers, maintains the WMPO Approved Suppliers List, evaluates supplier responses to RFQ/RFPs, and ensures that required inspections, surveillances, and audits are performed.

4.3 PURCHASING AGENT

The purchasing agent identifies potential suppliers, prepares RFQ/RFPs, provides supplier responses to RFQ/RFPs to the CAM and Project QA Division Manager; and issues POs and subcontracts, including related changes, to approved suppliers.

5.0 PROCEDURE

5.1 PROCUREMENT PLANNING

5.1.1 The CAM with input from the Project QA Department Manager shall develop procurement planning to outline the technical and quality requirements for the procurement of QA Level I or II items or services.

5.1.2 The procurement planning for QA Level I and II items and services shall identify or reference the following applicable information:

1. Items or services to be purchased (including QA Level).
2. Special design, performance, or environmental requirements.
3. Potential suppliers.
4. Requirements for source evaluation and selection of suppliers.
5. The type and extent of WMPO verification activities (audit, inspection, or surveillance) of the supplier's activities.
6. The criteria and method of item or service acceptance.
7. The records to be provided by the supplier.
8. The methods of controlling supplier nonconformances and corrective actions.
9. The sequence and scheduled completion dates for the following activities shall be provided when available:
    a. Procurement document preparation, review, approval and change control.
    b. Source evaluation.
    c. Bid evaluation.
    d. Selection of the supplier.

e. WMPO control of supplier performance.
f. Verification of supplier activities by WMPO (surveillance, inspection, or audit), including the identification of hold points and notification times.
g. Control of nonconformances.
h. Acceptance of item or service.
i Corrective action.
j. Transmittal of QA Records from the supplier to WMPO.
k. Procedures required to be issued.

5.1.3 Procurement planning shall be accomplished prior to the initiation of procurement activities and as early as practicable to provide interface compatibility and a uniform approach to the procurement process, and to preclude or limit delays during the actual procurement.

5.2 SUPPLIER EVALUATION AND QUALIFICATION

5.2.1 The CAM shall identify potential suppliers using input from the Project QA Department Manager, purchasing agent, trade publications and registers, referrals, and any other appropriate sources of information.

5.2.2 Suppliers shall be qualified prior to the award of the PO or subcontract based on an evaluation of their capability to provide items and services in accordance with the procurement requirements. The Project QA Department Manager and CAM shall evaluate potential suppliers. The evaluation shall be documented and shall be based on one or more of the following methods:

1. Evaluating a supplier's history and verifying its current capability to provide the same or similar items that perform satisfactorily in actual use (the supplier's history shall reflect current capability).

2. Examining a supplier's current quality records, and any supporting quantitative or qualitative information which can be objectively evaluated.

3. Determining a supplier's technical and quality capabilities by directly evaluating a supplier's facility, personnel, and implementation of its quality assurance program.

5.2.3 Suppliers that have been evaluated and determined to be qualified to provide an item or service shall be placed on the WMPO Approved Suppliers List (ASL) by the Project QA Department Manager with input from the CAM. In addition, suppliers of commercial grade items (see Section 5.7) shall be placed on the WMPO ASL for a specific item when it is determined by the CAM and Project QA Department Manager that no supplier evaluation is required based on

the complexity and importance to safety of the item being procured. In these instances the Project QA Department Manager shall document this supplier approval via a memo to the CAM and the purchasing agent.

5.3 BID EVALUATION AND SUPPLIER SELECTION

5.3.1 Qualified suppliers will be requested to provide bids in response to RFQ/RFPs for specific items or services to be purchased.

5.3.2 The purchasing agent, with input from the requestor, CAM, and Project QA Department Manager shall select the supplier for specific procurement actions based on an evaluation of bid information and the supplier qualification status. The selection shall include the following subjects, as applicable to the type of procurement:

1. Technical considerations.
2. QA requirements.
3. Supplier's personnel.
4. Supplier's facility and production capabilities.
5. Supplier's performance history.
6. Alternates.
7. Supplier's exceptions to procurement requirements.
8. Cost.

5.3.3 The CAM or Project QA Department Manager shall document supplier selection in a memo issued to the purchasing agent. All unacceptable conditions resulting from the bid evaluation shall be resolved or commitments obtained prior to selecting the supplier.

5.3.4 A PO or subcontract shall be issued to the selected supplier by the purchasing agent in accordance with QMP-04-01 including technical and quality reviews and approvals.

5.4 SUPPLIER PERFORMANCE EVALUATION

5.4.1 Following award of a PO or subcontract for QA Level I or II items or services, the CAM shall establish, as appropriate, measures with the supplier to provide for:

1. An understanding with the supplier of the provisions and specifications of the procurement document requirements.

2. The system for the identification of planning techniques and processes to be utilized by the supplier in fulfilling procurement document requirements.

3. The review of supplier documents that are generated or processed during activities fulfilling procurement requirements.

4. Identifying and processing necessary change information.

5. Establishing methods of document information exchange between purchaser and supplier.

6. Establishing the extent of verification activities, i.e., source inspections, surveillances and audits including WMPO designated hold points and notification time. These verification activities shall be conducted as early as practicable. WMPO verification activities shall not relieve the supplier of their responsibilities for verification of quality achievement.

5.4.2 The type and extent of verification activities (including planning and responsibility for performing inspections) shall be documented by the CAM with the concurrence of the Project QA Department Manager during procurement planning. The determination shall be based on the importance of the item or service to safety; the complexity, quantity, and cost of the item or service; the schedule; and, the quality performance record of the supplier.

5.4.3 The CAM or Project QA Department Manager, as appropriate, shall assure that verification activities identified during procurement planning such as inspection, surveillance, and audits, are performed by qualified personnel during the lifetime of the contract. The results of these verification activities shall be documented and reviewed annually by the Project QA Department Manager to determine the supplier's QA program effectiveness. Supplier related documentation (e.g., receiving inspection reports, nonconformance reports and related dispositions, waivers, corrective action, and operating history records) shall also be used for the annual review. Based upon the results of this review the Project QA Department Manager may consider a decrease or increase in verification activities or other appropriate action.

5.4.4 When WMPO utilizes another NNWSI Project Participant to perform activities assigned to WMPO, surveillances of these activities shall be performed by WMPO to determine whether or not the item is being produced or the service is being performed in accordance with WMPO requirements.

5.4.5 Supplier generated documents (including technical, inspection, and test data) shall be submitted to the CAM for his/her documented review, evaluation against acceptance criteria, and approval in accordance with the requirements of the procurement documents. Other required WMPO reviews, evaluations, and/or approvals shall be performed and documented as identified in the procurement plan or other applicable document.

5.4.6 All technical and quality changes to the requirements of the procurement documents shall be processed as formal changes in accordance with QMP-04-01.

5.5 ACCEPTANCE OF ITEMS AND SERVICES

5.5.1 The method(s) of acceptance of the item shall be documented by the CAM with the Project QA Department Manager's concurrence during procurement planning. Where required by code, regulation, or contract requirements, documentary evidence that items conform to procurement requirements shall be available at the location where the items are to be used prior to installation or use of the items. This documentary evidence shall be sufficient to identify the specific requirements, such as codes, standards, or specifications, that are to be met by the purchased items.

5.5.2 Items shall be accepted by one or a combination of the following methods following verification by the supplier that the item or service conforms to procurement requirements:

1. Source verification and release.
2. Receiving inspection.
3. Testing after delivery or installation.
4. Certificate of Conformance (COC).

5.5.2.1 Source Verification

When source verification is used, it shall be performed at intervals, as identified in the procurement documents, that are consistent with the importance and complexity of the item or service, and shall be implemented to monitor, witness, or observe activities. Source verification shall be accomplished by qualified personnel in accordance with approved procedures to ensure required inspections, examinations, or tests are performed at predetermined points. Upon the successful completion of source verification, documented evidence of the acceptance shall be furnished to the receiving destination of the item/or service, CAM, Project QA Department Manager, and the supplier.

5.5.2.2 Receiving Inspection

When receiving inspection is used, purchased items shall be inspected as necessary, to verify their conformance to specified requirements considering source verification, audit activities and related documentation, and the demonstrated quality performance of the supplier. Receiving inspection shall be performed by qualified personnel in accordance with approved inspection procedures to verify by objective evidence such features as proper configuration; identification; dimensional, physical, and other characteristics; freedom from shipping damage; and cleanliness.

Receiving inspection shall be coordinated with a review of supplier documentation when procurement documents require such documentation to be furnished prior to receiving inspection.

5.5.2.3 Post-Delivery Testing

When post-delivery testing is used, requirements and acceptance documentation shall be established mutually by the CAM, Project QA Department Manager, and the supplier. Testing shall be performed in accordance with approved testing procedures by qualified personnel.

5.5.2.4 Certificates of Conformance (COC)

Certificates of conformance, delineated in the supplier's QA program and supporting procedures, shall include the following information:

1. Identification of the purchased items, such as by the PO number.

2. Identification of the specific procurement requirements, codes, standards, and other specifications that have been met. This may be accomplished by including a list of the specific requirements or by providing at the point of receipt a copy of the PO and, as appropriate, procurement specifications or drawings, together with a suitable certificate.

3. Identification of any changes, deviations, and waivers to procurement requirements with reference to WMPO approvals of the changes, deviations and waivers.

4. Identification of those procurement requirements that have not been met with an explanation and the means to resolve these conditions.

5. Attestation by the responsible supplier QA individual as delineated in the supplier's QA program.

WMPO shall verify the validity of the supplier's certification system by audits of the supplier or independent inspections or tests of the items at intervals commensurate with the supplier's past quality performance. The supplier's certification system shall be delineated in procedures addressing the preparation, review, and approval of COCs.

5.5.3 Services shall be accepted by one or a combination of the following methods:

1. Technical verification by the CAM of data produced.

2. Review of objective evidence for compliance to procurement requirements such as certification, stress reports, etc.

3. Surveillance or audit, or both, of the activity.

5.6 CONTROL OF SUPPLIER NONCONFORMANCES

5.6.1 The method for control of supplier nonconformances shall be specified in the procurement documents.

5.6.2 Supplier nonconformances submitted for QA Level I and II items or services that are dispositioned use-as-is or repair shall be processed through WMPO for required approvals (see QMP-15-01, Control of Nonconformances) prior to transmittal back to the supplier.

5.6.3 The methods for control of supplier nonconformances shall include the following provisions:

1. Supplier identification and evaluation of nonconforming items.

2. Supplier submittal of nonconformance reports for WMPO approval of recommended disposition and related technical justification for non-conformances which consist of one or more of the following:

   a. Technical or material requirement is violated.
   b. Requirement in supplier documents, approved by WMPO, is violated.
   c. Nonconformances which can not be corrected by a continuation of the original manufacturing process or by rework.
   d. The item does not conform to the original requirement even though the item can by restored to a condition such that the capability of the item to function is unimpaired.

3. CAM and Project QA Department Manager's evaluation of recommended disposition.

4. CAM and Project QA Department Manager's approval or disapproval of recommended disposition (if the recommended disposition is disapproved, the CAM, Project QA Department Manager, and purchasing agent shall negotiate an acceptable disposition with the supplier).

5. Verification that the final item incorporates the WMPO approved disposition of the nonconforming condition.

6. Maintenance of supplier submitted nonconformance reports as QA Records, including the final resolution copy of each nonconformance report.

5.6.4 Nonconformances relating to purchased items and services that are identified during receiving inspection, acceptance testing, or installation shall be processed in accordance with QMP-15-01.

5.7 COMMERCIAL GRADE ITEMS

If an approved design or design output document has identified a commercial grade item as suitable for the intended application, the provisions of this section shall be applied in lieu of the other requirements of this procedure. An alternate commercial grade item may be supplied if the CAM provides verification that the alternate item will perform the intended function and will meet the requirements applicable to both the replaced item and its application. If a scientific investigation output document identifies the need for the use of commercial grade items which require calibration only, these items shall be controlled in accordance with the following provisions.

1. Supplier evaluation and selection (see Sections 5.2 and 5.3) shall be performed when determined necessary by the CAM and Project QA Department Manager based on the complexity and importance to safety of the item.

2. The PO, which shall be processed in accordance with QMP-04-01, shall identify the item by the manufacturer's published item description, such as the catalog number.

3. WMPO receiving inspection or acceptance testing shall be performed at the destination of the item to verify:

   a. Receipt of the correct item (by item identification) as purchased.
   b. No damage to the item during shipment.
   c. Item compliance with the manufacturer's product specifications and/or the requirements of the PO.

d. Acceptable documentation required by the PO has been received with the item.

5.8 DOCUMENT SUBMITTALS

Documents that are required to be generated and submitted by the supplier to WMPO shall be identified in the PO or subcontract. Such documents shall be submitted to the CAM by the supplier. The CAM shall ensure the submitted technical, inspection, and test data are evaluated against acceptance criteria. The Project QA Department Manager shall participate in these documented evaluations as identified in the procurement planning documents.

6.0 REFERENCES*

QMP-04-01, Procurement Document Control.

QMP-15-01, Control of Nonconformances.

QMP-17-01, Quality Assurance Records.

*Latest Revision

7.0 FIGURES

None.

8.0 QA RECORDS

Procurement planning documents, supplier evaluation and qualification records, procurement documents, WMPO ASL, inspection and test records, annual reviews in regard to supplier QA Program effectiveness, and supplier provided records (including waivers, receiving inspection reports, corrective action documentation, operating history records, and nonconformance reports) are QA Records and shall be maintained in accordance with QMP-17-01, Quality Assurance Records.

DISTRIBUTION LIST FOR WMPO/88-1

COPY #	NAME AND ORGANIZATION
2	MAX BLANCHARD, WMPO
3	JAMES BLAYLOCK, WMPO
4	L. W. GAGE, DOE/AL
5	VERN WITHERHILL, DOE/NTS
6	STAN KLEIN, SAIC
7	M. P. KUNICH, WMPO
8	STEVE METTA, SAIC
11	FLORENCIO RAMIREZ, DOE/SF
13	JOHN RINALDI, DOE/QAD
14	LARRY SKOUSEN, WMPO
15	MICHAEL SPAETH, SAIC
17	L. B. IBE, WESTON
18	CARL P. GERTZ, WMPO
22	PAUL PRESTHOLT, NRC/NV
23	J. BLANTON, NRC
32	JOHN JARDINE, SAIC
33	JOHN ESTELLA, SAIC
34	ED OAKES, SAIC
36	FRED RUTH, SAIC
38	RON COTE, SAIC
40	FORREST PETERS, SAIC
42	J. T. DAVIS, DOE/S.F.
45	UEL CLANTON, WMPO
48	DON LIVINGSTON, WMPO
49	WENDY DIXON, WMPO
51	DENNIS IRBY, WMPO
52	MIKE VALENTINE, WMPO
53	TIM ZVADA, WMPO
54	JOHN ROBSON, WMPO
55	DOUG SMITH, SAIC
56	GEORGE DYMMEL, SAIC
57	CHARLENE SPARKMAN, F&S/TULSA
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REMOVE - WMPO QMP Table of Contents, dated 2/22/88.

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INSERT - QMP-01-02, Stop Work, Rev. 0, Pages 1-7, behind QMP-01-01 at the section marked by Tab #1.

INSERT - QMP-04-01, Procurement Document Control, Rev. 0, Pages 1-8, behind Tab #4.

REMOVE - QMP-05-01, QMP Format and Preparation, Rev. 0, Pages 1-8, from section marked by Tab #5.

INSERT - QMP-05-01, Preparation and Control of Quality Management Procedures, Rev. 1, Pages 1-12, behind Tab #5.

INSERT - QMP-07-03, Control of Purchased Items and Services, Rev. 0, Pages 1-11, behind Tab #7.

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