

**CENTER FOR NUCLEAR WASTE
REGULATORY ANALYSES**

QUALITY ASSURANCE PROCEDURE

Proc. QAP-016

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Title

QAP-016 PROCUREMENT

EFFECTIVITY AND APPROVAL

Revision 8 of this procedure became effective on 5/26/2004. This procedure consists of the pages and changes listed below.

<u>Page No.</u>	<u>Change</u>	<u>Date Effective</u>
1-2	1	7/14/2004
3-4	0	5/26/2004
5	1	7/14/2004
6-9	0	5/26/2004

Change 1 incorporates editorial changes and uses the term Manager instead of Element Manager.

Supersedes Procedure No. QAP-016, Rev. 8, Chg. 0 dated 5/26/2004.

Approvals

Written By	Date	Concurrence Review	Date
/s/Robert Brient	7/14/2004	/s/Patrick Mackin	7/13/2004
Quality Assurance	Date	Cognizant Director	Date
/s/Mark Ehnstrom	7/13/2004	/s/Budhi Sagar	7/13/2004

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QAP-016 PROCUREMENT

1. PURPOSE

The purpose of this procedure is to establish measures for source selection, purchase document information and approval, and receipt and acceptance of quality affecting materials, equipment, and services. Quality affecting purchases are purchases of materials, equipment, or resources that could affect the outcome of quality affecting activities. Quality affecting activities include analyses, research, development, investigation, and technical assistance. Nonquality affecting purchases and their receipt shall follow established SwRI practices. Quality affecting procurement requirements for subcontractors and consultants are contained in Center for Nuclear Waste Regulatory Analyses (CNWRA) procedures AP-005, Obtaining Subcontract Services and AP-006, Obtaining Consultant Services.

2. RESPONSIBILITIES

- The purchase requester is responsible for providing procurement document information.
- The Director of Quality Assurance is responsible for review and approval of quality provisions of purchase requisitions and Procurement Plans.
- Cognizant Managers are responsible for review and approval of technical provisions of purchase requisitions.
- The Technical Director or Director of Administration is responsible for review and approval of fiscal provisions of purchase requisitions.
- The purchase requestor or other technically qualified staff are responsible for receipt inspection.
- The CNWRA Financial Clerk is responsible for maintaining completed procurement documentation.
- The Southwest Research Institute® (SwRI®) Quality Systems Department is responsible for qualifying suppliers, maintaining the Approved Suppliers List (ASL), and periodically evaluating and rating suppliers of quality-affecting goods and services.

3. PROCUREMENT

Table 1 is a guide for selecting suppliers, for procurement document requirements, and for receipt and acceptance methods.

3.1 Source Selection

3.1.1 Use of Approved Suppliers

Quality affecting purchases shall be obtained, whenever possible, from suppliers that have been evaluated in accordance with SwRI Procedure IQS-OP-741, Purchasing, and are listed on the SwRI ASL. SwRI procedure IQS-OP-741 shall be used to qualify a supplier not listed on the ASL for quality affecting work. Requests for adding suppliers to the ASL shall be made in accordance with IQS-OP-741 and should be coordinated with the CNWRA Director of Quality Assurance.

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Table 1. Procurement Guidelines

Commodity	Supplier Qualification	Purchase Document Requirements	Procurement Plan	Acceptance
Lab chemicals, reagents, standards, materials	ASL	Q20, Q51, Q7	None required	Count, kind, condition, and certificates from supplier
	Non-ASL	Q20, Q7	Plan required	Count, kind, condition, and Procurement Plan criteria.
Machining	ASL	Q20, Q11	None required	Count, kind, condition, and inspection data from supplier
Nondestructive examination	ASL	Q20, Q12	None required	Data from supplier
Laboratory analysis	ASL	Q20	None required	Data from supplier
	Non-ASL	Q20	Plan required	Data from supplier and Procurement Plan criteria.
Metals and other samples	Non-ASL	Q20, Q3, Q4	Plan required:	Procurement Plan criteria.
Special processes (welding heat treating, etc.)	ASL	Q20, Q12	None required	Data from supplier
	Non-ASL	Q20, Q12	Plan required: describe how critical parameters will be verified	Data from supplier and Procurement Plan criteria.
Personal services, consultants and subcontractors	Per AP-005 or AP-006	Q20	None required	Acceptance through routine management review and QAP-002 review process.
Software (other than from personal services)	ASL	Q20	None required	Per TOP-018
	Non-ASL: (nonquality affecting)	NA	None required: CNWRA staff apply TOP-018	Per TOP-018

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The SwRI ASL may be accessed at http://l2net.swri.edu/services/QA/IQS_Home_Page.htm by clicking on the Approved Suppliers List bookmark.

3.1.2 Use of Other Suppliers

Quality affecting purchases may be placed with suppliers not listed on the ASL when the suppliers cannot be qualified. In these cases, a Procurement Plan (CNWRA Form QAP-18, Attachment 1) shall be written. The Procurement Plan shall identify

- Actions or tests necessary to confirm the quality of the item (see the Procurement Plan form, Attachment 1). If none of the options listed on the Procurement Plan are appropriate for the procurement, the requestor shall define how the quality confirmation will be accomplished.
- The proposed supplier
- The reason for not using an ASL supplier or for not placing the supplier on the ASL
- Acceptance criteria

Note that a Procurement Plan is not required for software purchased from non-ASL suppliers. In those cases, TOP-018 shall be applied before the software may be used in quality affecting activities.

The Procurement Plan shall be reviewed for compliance with these requirements and approved by the Director of Quality Assurance prior to the procurement. If the Procurement Plan is attached to the purchase requisition in the Forms Manager system, approval of the purchase requisition shall signify approval of the Procurement Plan.

3.1.3 Obtaining Services from SwRI Sources

Quality affecting services (i.e., laboratory analyses) may be obtained from other SwRI organizations provided that appropriate controls are applied. If the SwRI organization has a third-party certified (i.e., ISO-9000 or ISO-17025) quality program, the organization shall be treated as an ASL supplier. If the organization does not have a certified quality program, the organization shall be treated as a non-ASL Supplier and a Procurement Plan is required.

4. PROCUREMENT DOCUMENT CONTROL

4.1 Identification of Procurement Document Information

Purchase requisitions will be processed using the online SwRI Forms Manager system. Requesters may interface directly with Forms Manager, or the following information may be provided to a Support Staff member for preparation of the requisition.

- The item to be purchased; by detailed description or reference to part or catalog number
- Technical or regulatory requirements, codes or standards
- Documentation required from the supplier (see Table 1)

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- Whether the item is quality affecting
- Whether the procurement requires an ASL supplier
- Applicable Quality (Q-) clauses (see Table 1 and Attachment 2 for Q clauses appropriate for the procurement category)
- Applicable drawings or price quotes (attach)
- Whether the purchase is for a government project
- Whether the purchase cost is greater than \$1,500
- A Procurement Plan (when applicable)
- The proposed supplier (if known)

The text of the Quality Clauses commonly used by the CNWRA is provided in Attachment 2 to this procedure. The full listing of Quality Clauses and their text is available at http://l2net.swri.edu/services/QA/IQS_Home_Page.htm.

4.2 Procurement Document Approval

After a requisition has been prepared in the Forms Manager system, it shall be sent via email for the following reviews and approvals.

- Quality Assurance— to verify that appropriate quality requirements have been included and that the applicable provisions of this procedure have been met
- Requestor— to verify that the purchase requirements have been accurately entered into Forms Manager
- Cognizant Manager— to verify that the appropriate technical requirements have been specified on the requisition
- Technical Director or Director of Administration—to approve expenditure of the funds

5. RECEIPT AND ACCEPTANCE

Receiving inspections shall be performed by technically qualified staff, usually the purchase requestor. Guidance for the acceptance of common types of purchased items is found in Table 1.

5.1. Receipt and Acceptance from ASL Suppliers

The receiving inspection shall to verify that requirements listed on the purchase requisition or purchase order have been satisfied. The receiving inspection shall verify that

- The correct items and quantity have been delivered.

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- Items are properly identified.
- Requested documentation has been provided.
- Items are clean and free from shipping damage.

If the inspection finds that all requirements have been satisfied, the items can be accepted. Acceptance shall be documented on one of the following receiving documents: the purchase requisition, the purchase order, the shipping ticket, or the receipt traveler. This documentation shall include the initials of the receipt inspector, the date of the inspection, and a statement indicating acceptance of the item such as "accepted." All relevant receiving documentation shall be stapled together and sent to the CNWRA Financial Clerk.

If the receipt traveler is not available when the items are received and the inspection occurs, the receipt traveler shall be annotated that the acceptance documentation was previously provided when it arrives. The receipt traveler will then be sent to the CNWRA Financial Clerk.

Discrepancies identified during receiving inspection shall be addressed in accordance with Section 5.4.

5.2 Receipt and Acceptance from Non-ASL Suppliers

In addition to the receiving inspection steps described in Section 5.1, the receiving inspection shall include the verification activities and acceptance criteria specified in the applicable Procurement Plan (see paragraph 3.1.2 and Attachment 1). If the received item requires additional action to determine compliance with the Procurement Plan, the item will be placed in a hold area. Acceptance of the item will be withheld until the testing is completed. If the inspection finds that all requirements listed on the requisition and contained in the Procurement Plan have been satisfied, the item can be accepted.

After completion of the inspection, the following information shall be added to the lower portion of the Procurement Plan:

- inspection results (accepted or rejected)
- the reference location (scientific notebook or project folder) of the documentation of the basis of acceptance (i.e., calculations, confirmatory analysis reports, inspection reports, NDE reports, etc)

The completed Procurement Plan, purchase requisition/order, and receipt traveler shall be sent to the CNWRA Financial Clerk. If the receipt traveler is not available at this time, then the Procurement Plan and purchase requisition/order can be used to document the inspection. When the receipt traveler arrives, it shall be annotated that the inspection documentation was previously provided and then shall be sent to the CNWRA Financial Clerk.

Discrepancies identified during receiving inspection shall be addressed in accordance with Section 5.4.

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5.3 Identification of Accepted Items

Accepted items shall be identified by the purchase order or purchase requisition number. The purchase order or purchase requisition number may be placed on the item itself, on a tag attached to the item, or on a container holding the accepted item. Only items that have been accepted may have the purchase order or purchase requisition number affixed.

5.4 Nonconforming Items

If the receiving inspection identifies nonconformances with procurement requirements, a nonconformance report (NCR) shall be initiated and processed in accordance with QAP-009, Nonconformance Control. The purchase requisition/order and the receipt traveler or shipping ticket shall be annotated with the NCR number and sent to the Financial Clerk. If the disposition of the NCR results in acceptance of the item(s), the item can then be released for use. If the NCR results in rejecting the item, the SwRI Receiving Department shall be notified to return the item to the supplier.

6. RECORDS

The following shall be maintained as quality assurance records by the CNWRA Financial Clerk.

- Purchase requisitions (may be maintained electronically)
- Receipt travelers or shipping tickets
- Completed Procurement Plans

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ATTACHMENT 1

CNWRA PROCUREMENT PLAN

The following information is required when purchasing quality affecting items, services, or materials from a supplier not listed on the SwRI Approved Suppliers List.

Item or Activity to Be Procured	Action or Tests Required to Assure Quality
<input type="checkbox"/> Laboratory Analysis	<input type="checkbox"/> Provide blind samples with known compositions to the non-ASL supplier to provide confidence in reported results (Preferred approach) <input type="checkbox"/> Provide duplicate samples to the non-ASL supplier to provide confidence in reported results <input type="checkbox"/> Other (describe)
<input type="checkbox"/> Metals, Chemical Standards or other samples	<input type="checkbox"/> Perform confirmatory analysis with an ASL supplier in accordance with QAP-018
<input type="checkbox"/> Special Processes	<input type="checkbox"/> (describe)
<input type="checkbox"/> Other (explain)	<input type="checkbox"/> (describe)

Proposed Supplier: _____

Reason for not using an ASL supplier or for not placing this supplier on the ASL:

- No ASL supplier is capable of providing the required items/services.
- Desired supplier does not have a quality program.
- Other:

Acceptance Criteria:

Procurement Plan Initiated By: _____

Date: _____

Approved: _____
Director of CNWRA Quality Assurance

Date: _____

Results of Receipt Inspection: Accept Reject NCR Number: _____

Reference Documentation Location:

Performed By: _____

Date: _____

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Attachment 2

QUALITY CLAUSES COMMONLY USED BY THE CENTER FOR NUCLEAR WASTE
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Q3: Material certification shall accompany each lot of items shipped. Certification shall verify conformance to applicable specification(s) and reference the applicable heat number, lot/batch number, or date code. The supplier shall notify Institute Quality Systems of any deficiencies discovered subsequent to the delivery of this item.

Q4: Mill Test Report shall accompany each lot of items shipped. Test report shall be in the form of a production batch analysis or ladle analysis. Chemical and/or physical test data shall be provided. Material shall be identified by heat number, if applicable.

Q7: Material Safety Data Sheet(s) (MSDS) must be supplied upon first shipment of the product. The content of the MSDS is required to be in compliance with 29 CFR 1910.1200(9).

Q11: Supplier shall furnish dimensional inspection data verifying compliance with the requirements of the fabrication drawings.

Q12: Certified inspection/test data is required with shipment of parts, materials, and for services.

Q20: Your organization will provide goods or services to the CNWRA in accordance with the requirements of your quality system or that of the CNWRA Quality Assurance Manual. Any special technical or Quality Assurance procedures required in the performance of your staff members' work will be provided. Special CNWRA requirements apply to scientific and engineering software and must be followed. Your organization's product will be accepted based on an evaluation by the CNWRA Principal Investigator or technical staff member and will be returned for rework at Seller's expense if the product does not meet CNWRA requirements. If scientific notebooks are utilized, they are subject to periodic review and must be returned at the conclusion of work to the CNWRA Quality Assurance Records Room, or invoice remittance will be withheld. Additionally, there shall be "right of access" to your facility to confirm effective implementation of the quality requirements with the possibility of audits, source inspections, or surveillances. Any special documentation requirements shall be specified in the purchase order and will be supplied to the CNWRA with the product. The Seller shall notify CNWRA Quality Assurance of any nonconformance to the requirements of this purchase order; further work shall not be done unless directed by CNWRA Quality Assurance. If there are any Quality Assurance-related questions, please call the CNWRA Director of Quality Assurance at 210.522.5537.

Q51: Supplier shall provide a Certificate of Analysis for each chemical(s) shipped. The Certificate shall provide evidence for conformance to applicable specification(s) with the percent of purity and reference the appropriate lot/batch number of the chemical(s). The supplier shall notify Institute Quality Systems of any deficiencies discovered subsequent to the delivery of this order.