CENTER FOR NUCLEAR WASTE REGULATORY ANALYSES QUALITY ASSURANCE PROCEDURE	Proc. QAP–016 Revision 7 Chg 0 Page 1 of 9

Title

QAP–016 PROCUREMENT

EFFECTIVITY AND APPROVAL

Revision 7 of this procedure became effective on 01/14/2004. This procedure consists of the pages and changes listed below.

Page No.	Change	Date Effective
All	0	01/14/2004

Supersedes Procedure No. QAP–016, Rev. 6, Chg. 1, dated 09/04/2003

Approvals

Written By M. Ehnstrom	Date 1/14/04	Concurrence Review P. Mackin	Date 1/14/2004
Quality Assurance R. Brient	Date 1/9/04	Cognizant Director B. Sagar	Date 1/14/2004

QAP–016 PROCUREMENT

1. PURPOSE

The purpose of this procedure is to establish measures for source selection, documentation of information and approval, and receipt and acceptance of quality affecting materials, equipment, and services.

2. RESPONSIBILITIES

- The purchase requester is responsible for source selection and for providing procurement document information.
- The Director of Quality Assurance is responsible for review and approval of purchase requisitions to assure applicable quality requirements have been included.
- Element Managers are responsible for review and approval of purchase requisitions.
- The purchase requestor or other technically qualified staff are responsible for performing receipt inspection activities.
- The Center for Nuclear Waste Regulatory Analyses (CNWRA) Financial Clerk is responsible for maintaining completed purchase requisitions, receipt travelers or packing slips, and documentation showing results of receiving inspections.
- 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 identifies the types of quality affecting purchases that CNWRA makes. Quality affecting purchases [i.e., purchases of materials, equipment, or resources that could affect the outcome of quality affecting activities (quality affecting activities include regulatory, institutional, and technical uncertainty; and clarification and reduction accomplished through analyses, research, development, investigations, and technical assistance)] shall meet the requirements of this procedure. Nonquality affecting purchases and their receipt shall follow established SwRI practices. Quality affecting procurement requirements for subcontractors and consultants are contained in CNWRA procedures AP–005, Obtaining Subcontract Services and AP–006, Obtaining Consultant Services.

3.1 Source Selection

3.1.1 Use of Approved Suppliers

Quality affecting purchases shall be placed whenever possible with suppliers that have been evaluated in accordance with SwRI Procedure IQS–OP–741, Purchasing, and are listed on the SwRI Approved Suppliers List (ASL).

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 (Receipt traveler)
Machining	ASL	Q20, Q11	None required	Count, kind, condition, and inspection data from supplier (Receipt traveler)
Nondestructive examination	ASL	Q20, Q12	None required	Data from supplier (Receipt traveler)
Laboratory analysis	ASL	Q20	None required	Data from supplier (Receipt traveler)
	Non-ASL	Q20	Plan required: duplicates and blind standards	Acceptable accuracy and precision(Receipt traveler and acceptance report)
Metals and other samples	Non-ASL	Q20, Q3, Q4	Plan required: confirmatory analysis	Confirmatory analysis results within acceptable tolerance. (Receipt traveler and acceptance report)
Special processes (welding heat treating, etc.)	ASL	Q20, Q12	None required	Data from supplier (Receipt traveler)
	Non-ASL	Q20, Q12	Plan required: describe how critical parameters will be verified	As described in plan. (Receipt traveler and acceptance report)
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

SwRI procedure IQS–OP–741 shall be used to qualify a company 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.

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 desired suppliers are not listed and cannot be qualified. In these cases, a Procurement Plan (a template is provided as Attachment 1) shall be written. This plan shall document the actions to be taken to assure quality of the item and shall include, as appropriate, requirements for

- Performing confirmatory sample analysis in accordance with QAP–018
- Providing blind samples with known compositions to the supplier to provide confidence in the results
- Providing duplicate samples to the supplier to provide confidence in the results
- Performing testing upon receipt to verify the quality required for the activity.

The plan shall identify

- The proposed supplier
- Actions or tests are necessary to confirm the quality of the item
- Acceptance criteria
- The reason for not using an ASL supplier or for not placing the supplier on the ASL

The plan shall be reviewed for compliance with these requirements and approved by the Director of Quality Assurance prior to the procurement.

4. PROCUREMENT DOCUMENT CONTROL

4.1 Identification of Procurement Document Information

Purchase requisitions are processed using the online SwRI Forms Manager system. Requesters (particularly frequent purchase requesters) may interface directly with Forms Manager, or the following information may be provided to a Support Staff member for entry into Forms Manager:

- The item to be purchased; by detailed description or reference to part or catalog number

- Technical or regulatory requirements, code, or standards
- Documentation requirements
- An indication whether or not the item is quality affecting
- An indication if the procurement requires an ASL supplier
- Applicable Quality (Q-) clauses (see Attachment 2 for Q clauses appropriate for the procurement category)
- Applicable drawings or price quotes (attached)
- An indication if the purchase is for a government project
- An indication if the purchase is greater that $1,500
- Reference to 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://I2net.swri.edu/services/QA/IQS_Home_Page.htm.

4.2 Procurement Document Approval

After the requisition has been placed into the Forms Manager System, the requisition will be sent out via email for reviews and approvals, in the following order:

- Quality Assurance review— to verify that appropriate quality requirements have been included and that the applicable provisions of this procedure have been met
- Requestor review—to verify that the purchase requirements have been accurately entered into Forms Manager
- Management review— to verify that the appropriate technical requirements have been specified on the procurement document and for budgetary considerations

After approvals have been obtained, the requisition shall be forwarded by email message to the CNWRA Financial Clerk to submit to the SwRI Purchasing Department.

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 from ASL Suppliers

The receiving inspection shall be performed to verify that requirements listed on the purchase requisition have been satisfied. To perform the receiving inspection, the information from the receipt traveler, or in some cases the shipping ticket, must be available. (The receipt traveler contains the same information as the purchase requisition and purchase order). The receiving inspection shall verify that

- The correct items and quantity have been delivered.
- Items are properly identified.
- Requested documentation has been provided.
- The items are clean and free from shipping damage.

If the inspection finds that all requirements listed on the receipt traveler have been satisfied, the item can be accepted. Acceptance shall be documented by initialing and dating the receipt traveler and submitting it to the CNWRA Financial Clerk. Discrepancies identified during receiving inspection shall be addressed in accordance with Section 4.3.

5.2 Receipt and Acceptance from Non-ASL Suppliers

The receiving inspection of quality affecting items from non-ASL suppliers shall be performed in accordance with the Procurement Plan (see paragraph 3.1.2 and Attachment 1). 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 Procurement Plan prepared for the purchase.

The actions taken and results (including acceptance or rejection) shall be documented on the lower portion of the Procurement Plan form. If the received item requires testing 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. Acceptance of the item shall be documented by initialing and dating the receipt traveler and returning it to the CNWRA Financial Clerk along with the completed Procurement Plan and additional acceptance documentation required by the plan. Discrepancies identified during receiving inspection shall be addressed in accordance with Section 4.3.

5.3 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 receipt traveler 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 then can be placed in use. If the NCR results in rejecting the item(s), the Receiving Department at SwRI will be notified to return the item to the supplier.

6. RECORDS

The following shall be maintained as quality assurance records.

- Purchase requisitions (may be maintained electronically)
- Receipt travelers
- Completed Procurement Plans and supporting documentation

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
❑ Laboratory Analysis	❑ Provide blind samples with known compositions to the non-ASL supplier to provide confidence in reported results ❑ Provide duplicate samples with known compositions to the non-ASL supplier to provide confidence in reported results ❑ Other (describe)
❑ Metals/Chemicals or other samples	❑ Perform confirmatory sample analysis with an ASL supplier in accordance with QAP–018 (For chemical standards and metals purchased from non-ASL suppliers)
❑ Special Processes	❑ (describe)
❑ Other (explain)	❑ (describe)

Proposed Supplier:_____

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

_____

_____

Acceptance criteria:

_____

_____

Procurement Plan Initiated By:_____ **Date:**_____

Approval of Acceptance Plan: _____

Date:_____

_____
Director of CNWRA Quality Assurance

Attachment 2

QUALITY CLAUSES COMMONLY USED BY THE CENTER FOR NUCLEAR WASTE REGULATORY ANALYSES (CNWRA)

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.

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.

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.