DOE Contractors
Supplier Quality Information Group

SQIG Meeting Minutes
March 29, 2000
DOE Las Vegas

Supplier Quality Information Group (SQIG)
General Membership Meeting
Proposed Agenda

March 29, 2000

DOE Nevada Operations Office [Great Basin, Room A-106]

08:00 - 08:15 a.m. Welcome

08:15 - 08:30 a.m. General Meeting Introductions

08:30 - 08:45 a.m. Elections

08:45 - 09:00 a.m. Reading the Minutes of 10/99 meeting

09:00 - 10:00 a.m. ICPT Support – Involvement of SQIG with ICPT – Lynn Dresser

10:00 - 10:15 a.m. Break/Networking

10:15 - 10:30 a.m. Performing Joint Evaluations – Dave Torczon

10:30 - 11:30 p.m. PAAA Benchmarking and Proposed SQIG Path Forward – Nora Armijo

11:30 - 1:00 p.m. Lunch

01:00 - 01:30 p.m. Data Sharing Format – Audrey Cooper

01:30 - 02:15 p.m. Old Business

- Report out on SQIG Strategic Plan
- Status of New Database
- Training on SQIG Charter and Procedures

02:15 - 03:00 p.m. New Business

- EPEA Application
- SQIG Management Plan
- Proposed changes to DOE O 414.1A

03:00 - 03:15 p.m. Break/Networking

03:15 - 03:45 p.m. Working Group activity reports

03:45 - 04:20 p.m. Report outs from members on their site activities

04:20 - 05:00 p.m. Open Discussion

- Next meeting is October 17-19, 2000

05:00 p.m. Adjourn

March 28, Working Group Meetings [**DOE Nevada Operations Office,** Great Basin, Room A-106]:
Agenda's for these meetings will be established by the working group team leaders identified below. Please contact your team leader for more information.

Database Group - Working to improve the utility of the SQIG database, Steve Stein (631) 344-5694.
Analytical Laboratory Group - Establishing a common, coordinated approach to Analytical Laboratory/ Transportation, Storage and Disposal Facility evaluations, Ken Harrison (509) 372-4973.
Standardization - Improving standardization of supplier evaluation practices and other group activities among members, Tony Vigil (806) 477-4678.
Membership/Marketing/Communications Group - Working to increase the membership and market the SQIG concept, Ron Natali (925) 422-9105.
Newsletter group - Working to keep SQIG members informed of ongoing and upcoming events,
Lily Reese (505) 665-8767.

March 30, Steering Committee Meeting and Working Group Meetings [**DOE Nevada Operations Office,** Great Basin, Room A-106]

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Audrey Cooper		509-376-5720	Fluor Han
Lynne Dresser	dresser2@llnl.gov	(925) 423-8408	LLNL
Jose M. Legarreta	legarrj@carlsbad.wipp.ms.us	(505) 234-7566	WID (W

SQIG meeting minutes for March 29, 2000

Meeting started 8:10 AM

Reviewed the agenda for the days activities

Steve Stein talked about SQIG receiving the EPEA award and the article that was published in the DOE Standards newsletter.

Elections were held for the following positions

Secretary

2-Director positions

Nominated

Secretary	Ron Natali
Director	Mike Sheridan
	Audrey Cooper
	Nora Armijo

Elected

Secretary	Ron Natali
Director	Audrey Cooper
	Nora Armijo

Read the minutes and they were approved with modifications.

Integrated Contractors Purchasing Team (ICPT)

SQIG steering committee will be revising the SQIG Charter to show how it interrelates with the ICPT Team.

Dave Torczon brought up the fact that if a DOE Contractor accepts an ICPT contract they should take advantage of the cost savings and report it to SQIG.

Lynne Dresser the ICPT Representative asked if any one would like to participate in the LLW box ICPT Contract. They are in the process of putting this team together, if interested contact Lynne after this meeting. SQIG volunteered to help establish the QA requirements for the LLW boxes and to conduct the audits that will be required. SQIG could perform Joint audits and comprise the audit team of individuals from across the DOE complex. Lynne explained that members of SQIG need to know who is on the ICPT team. She gave us the ICPT web page address.

http://www.inel.gov/procurement/litco/icpt.html we reviewed the ICPT web page.

NOVA Fasteners contract is in place and they are trying to get DOE Contractors to use this contract. Dave Torczon did a presentation at the procurement managers meeting in San Antonio, TX on the cost savings by using the ICPT Nova contract. Also presented at SQIG was a draft, ICPT Glovebox Gloves Project through Los Alamos National Laboratory interested parties please contact John MacDonald at Los Alamos (See attachment 1).

Steve Stein also indicated that he has been asked to come to the next ICPT meeting in Washington DC in April.

National Analytical Management Program (NAMP)
Ken Harrison attended a presentation by the National Analytical Management Program, EM Consolidated Audit Program (see attachment 2). Ken explained that this was a DOE sponsored group of DOE that is setting up a similar program to SQIG only for analytical labs. A recommendation was made that the SQIG chairperson make contact with this group and see if there is anything SQIG could offer to them.

"BREAK"

Joint Audits
Presentation on Joint Audits by Dave Torczon (See attachment 3)
A discussion about performing joint audits and a question was raised does SQIG have a procedure in place as to how to conduct a joint audit. Ron Natali was asked to review the SQIG archives to see if one existed at one time. If there is no existing procedure assign this task to the standards working group.

During this dissuasion members asked if DOE contractors have technical representatives go on audits. Some said yes, other said they have technical representative help them develop the checklist addressing their needs.

PAAA Presentation, Nora Armijo
Nora presented a PAAA presentation from a meeting that was held in Phoenix, AZ. Attachment 4 is the presentation and the results of a brainstorming session held at this meeting. A conference call will be held on April 3, 9 AM MDT, 505.845.9855.

After her presentation a discussion was held and members need to get a better understanding as to what is required by EH-10. A new working group was created with Nora Armijo as the chairperson.

LUNCH, 11:40 AM

Data Sharing format, Audrey Cooper
Audrey presented a data sharing form that they will use when other SQIG members ask for audits from them. She passed this format out to those present incase they want to use it or borrow parts to create their own data format. The purpose of this is to help standardize the process. See attachment 5.

Old Business

Strategic Plan
Steve Stein share that the Strategic Plan at our last meeting in October 1999 was reviewed and as a result of the EPEA award comments a new strategic implementation plan was created.

Database
The new database is still under development. The free help that we had at ORNL is no longer available to SQIG. So the Database is still not finished. Steve will update the document that outlines the requirements of the database so it can be used when SQIG goes out to bid to have the database finished.

Training
A draft procedure for training was passed out for review. See attachment 6. This was patterned after NIAC.

New Business

Steve Stein indicated that a request was submitted to have DOE order 414.1A modified to include references to SQIG. This was submitted on March 1, 2000. See attachment 7. The order may not be changed at this time but the guide may be updated to include this change.

EPEA Award
Steve indicated that SQIG would once again submit an application to the EPEA.

SQIG Charter
The SQIG Standards Working group proposed that the charter be change to a management plan. A proposed draft was submitted with comments back to Tony V. by August 1. See attachment 8.

Multiple Site Procurement
A DOE representative will be presenting this to the QAWG at their next meeting. If those interested in hearing this presentation might consider attending.

Reviewed the following items by the Chairperson, Steve Stein
Reviewed the new suggestion box on the home page. This will allow members to not only make suggestions but also submit their complaints.
Utilization data was reviewed
Reviewed current database.

Each member as to what activities are ongoing at their sites gave a report to those present.

Next meeting will be October 3-5, 2000.

Meeting adjourned at 4:45 PM.

Attachment 1

ICPT
GLOVEBOX GLOVES PROJECT
Through Los Alamos National Laboratory

For information
Contact John MacDonald
(505) 667-7889

Purpose

The Quality Management Group (QMG) Receiving Inspection Team (RIT) provides inspection data to assess and improve Los Alamos National Laboratory's distributor/ vendor performance. The RIT assessments measure the suppliers performance in delivering materials as ordered. This includes verifying that the correct materials and quantities were delivered, the materials are new and unused, are not defective or damaged, and the presence of and adequacy of certifications.

Processes

Receiving Inspection Team (RIT) processes include conducting, documenting and reporting inspections and non-conformances in accordance to established procedures. Lead-loaded glovebox gloves are visually inspected for defects including punctures or tears in the outer Hypalon surfaces or other defects that would cause the RIT inspector to determine the glove(s) to be unacceptable for use.

Quality Performance Measures

The results of the inspections are entered into an Microsoft Excel database, providing data for trend analysis, performance measurements, and records retention.
Statistical quality control. RIT utilizes statistical quality control to measure the manufacturer's performance in meeting the Laboratory's requirements and to assist the supplier in achieving an acceptable level of service.

- *Supplier Non-conformance* p charts (percent defective) -- control charts that graphically show the percentage of non-conforming gloves (see figure 1). These are utilized by RIT personnel to identify when a supplier's level of service is in-or-out of control and to identify the occasional presence of variation in the supplier's and/or manufacturing processes.

- *Causes of Non-conformances* Pareto Charts -- an analysis tool that separates the vital few from the trivial many of the causes of non-conformities. RIT utilizes this chart to identify the significant non-conformances and to investigate processes to eliminate the problems (see figure 2)

Note: Line items are defined as each distinct item on an order regardless of quantity.

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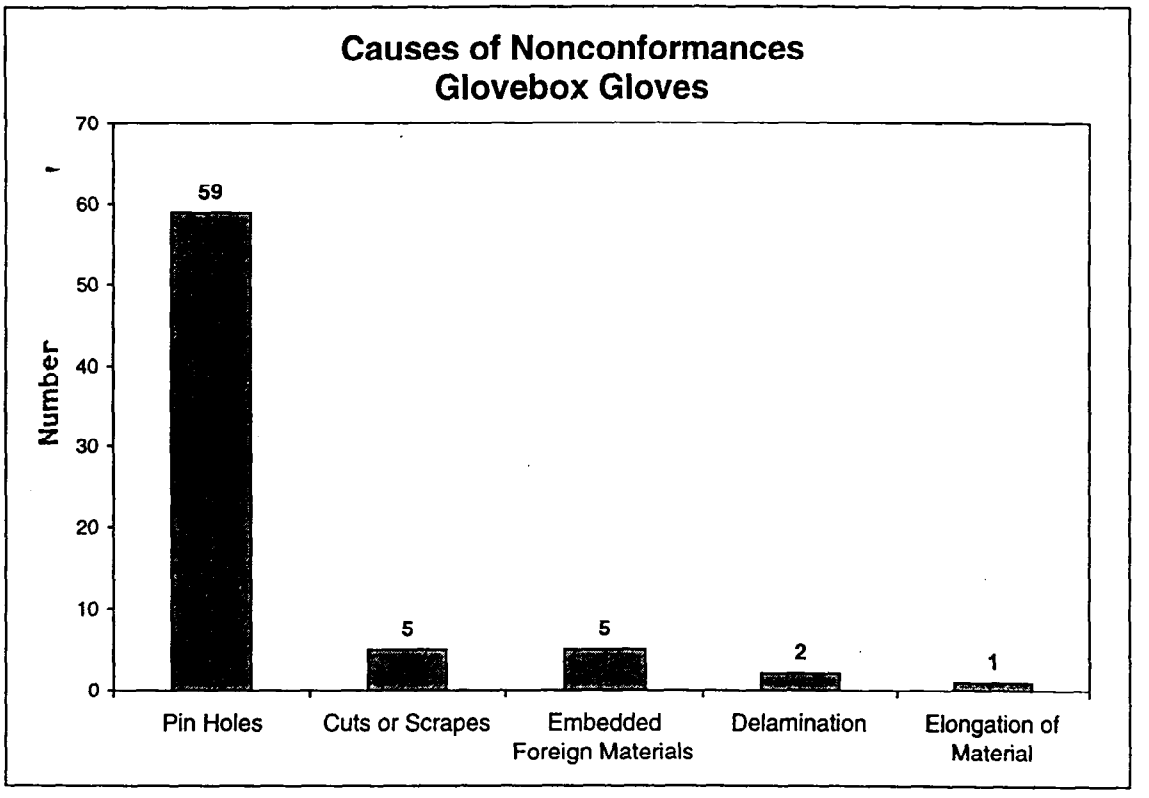

figure 2

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Problem Statement Continued

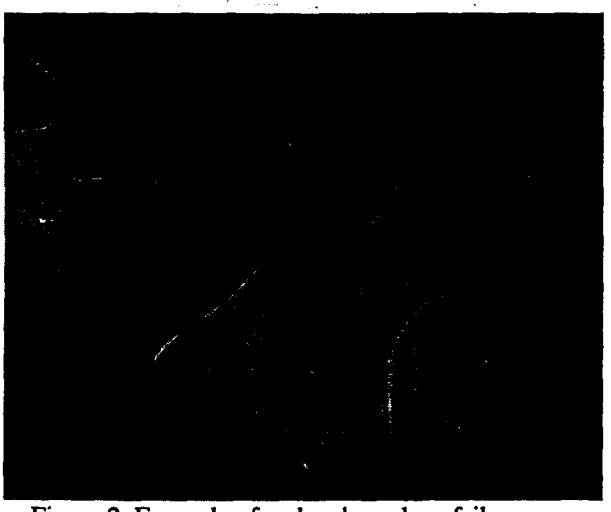


Figure 2. Example of a glovebox glove failure.

The typical glovebox glove failure costs ~$100,000. Occasionally a failure will cost several million dollars. Lost productivity is usually the greatest single cost. In a few cases glove failures have resulted in facility standdowns. (Working in gloveboxes is challenging and stressful. Glove failures are caused by a number of factors , such as punctures, tears, cuts, chemical effects, normal wear, aging and unknowns. From the few statistics that are available, most often both worker actions and glove performance contribute to a glove failure.)

North Safety Products of Charleston, South Carolina is the single glove manufacturer supplying all DOE sites (and AWE in Great Britain). Each DOE site requires a different glove design and sets different performance specifications. Each site works independently with the manufacturer. Gloves frequently don't meet the performance specification; at Los Alamos over 6.03% of new gloves received are rejected for manufacturing flaws. Please see appendix 3.

Glove failures cost DOE $50-100 million per year, mostly at DOE/EM sites.

Solution: Glove Advancement Project

The glove advancement project is a $6 million, three-year, multi-site collaboration to improve glove performance. It will include the largest glove-using sites (LANL, SRS, RL, RF, OR, ID) plus those smaller sites who choose to participate. The project goal is to reduce DOE-wide glove life cycle cost by 50% in three years through the following actions:

Integration

- Establish a DOE-wide cooperative of glove users (including procurement, safety, and operations people)
- Propose DOE guidance encouraging sites to improve glove performance including a protocol for reporting and tracking glove failure

Procurement

- Develop a common glove specification (based on a systematic understanding of glove ergonomic and operational requirements)
- Establish a DOE-wide glove procurement contract
- Establish a second, qualified glove supplier
- Establish cooperative agreements with the present glove manufacturer (for product quality improvement)

Operations

- Establish new-glove testing protocols
- Develop and publish a glove training protocol (based on statistical understanding of the most frequent glove failure incidents and based on the best practice among DOE sites)

project it will collect progress statements from all other tasks and integrate them into a project progress report. Finally, at the completion of the project, it will publish a final report. This area also tracks glove improvement adoption and compares it with life cycle glove cost at each site. This task will publish an annual "Adoption Status Report". Participate and attend American Glovebox Society meetings and sub committee meetings.

1B. Propose DOE guidance encouraging sites to improve glove performance including a protocol for reporting and tracking glove failure. Task lead: DOE/AL. DOE glove guidance will be developed to establish DOE-wide glove improvement requirements. This may be integrated into Integrated Safety Management. The guidance will also require record keeping and reporting of new glove reject rates and installed glove failures.

2. Procurement

The procurement area includes actions that establish common requirements or that assist the manufacturers in improving glove quality.

2A. Inventory of glovebox gloves used throughout the DOE complex. Develop a common procurement glove specification (based on a systematic understanding of glove ergonomic and operational requirements). Task lead: LANL. This task is underway. Julie Allen, LANL procurement, has organized points of contact at the major sites. She has collected existing glove specifications and is in the process of negotiating a standard specification. A specification for existing gloves should be complete within six months. Specifications for improved gloves will be developed as glove piloting is completed.

2B. Establish a DOE-wide glove procurement contract. Task Lead: LANL. Based on the standard glove specification and standard glove testing requirements (described in 3A below), LANL will negotiate a glove procurement contract that can be used by any DOE site.

2C. Establish a second, qualified glove supplier. Task Lead: LANL. Los Alamos has already begun development with a glove manufacturer who produces chemical/biological defense gloves for the Department of Defense. Los Alamos will continue supporting this manufacturer's development of a glove capability and will engage such other manufacturers as appear capable of developing a glove manufacturing capacity. The goal of this task is to establish commercial competition among glove manufacturers. After the second supplier is fully qualified and manufacturing gloves, Los Alamos will continue to support that supplier with manufacturing quality assistance and in producing test batches of new-technology gloves for the pilots described in 4A-C.

2D. Establish a quality-improvement cooperative agreement with the present glove manufacturer. Task Lead: Savannah River Site. The present glove manufacturer is located very close to Savannah River Site; that site has a close and long-standing cooperative relation with the manufacturer. Consequently, it is planned that SRS will establish a cooperative agreement (perhaps even a CRADA) with the manufacturer. The goal of this task is to reduce new-glove rejection rates and to assist the manufacturer in producing test batches of new-technology gloves for the pilots described in 4A-C.

3. Operations

The operations area includes those tasks that require the input and close coordination with mission activities performing work in gloveboxes and the health and safety personnel who support them.

3A. Establish new-glove testing protocols. Task Lead: TBD. This task will collect and organize the present glove testing protocols, pilot new testing procedures, and develop a consensus based standard that can be used by sites and manufacturers. The Standards Development Committee of the American Glovebox Society has been looking at several glovebox-glove standards for a variety of DOE and non-DOE applications. The standard described here could be developed under the auspices of AGS. ASTM is another organization that develops consensus-based standards and who could support the project with standard development.

3B. Develop and publish a glove training protocol (based on statistical understanding of the most frequent glove failure incidents and based on the best practice among DOE sites). Task Lead: TBD. This task will conduct an inventory of glove operations and identify the most critical glove

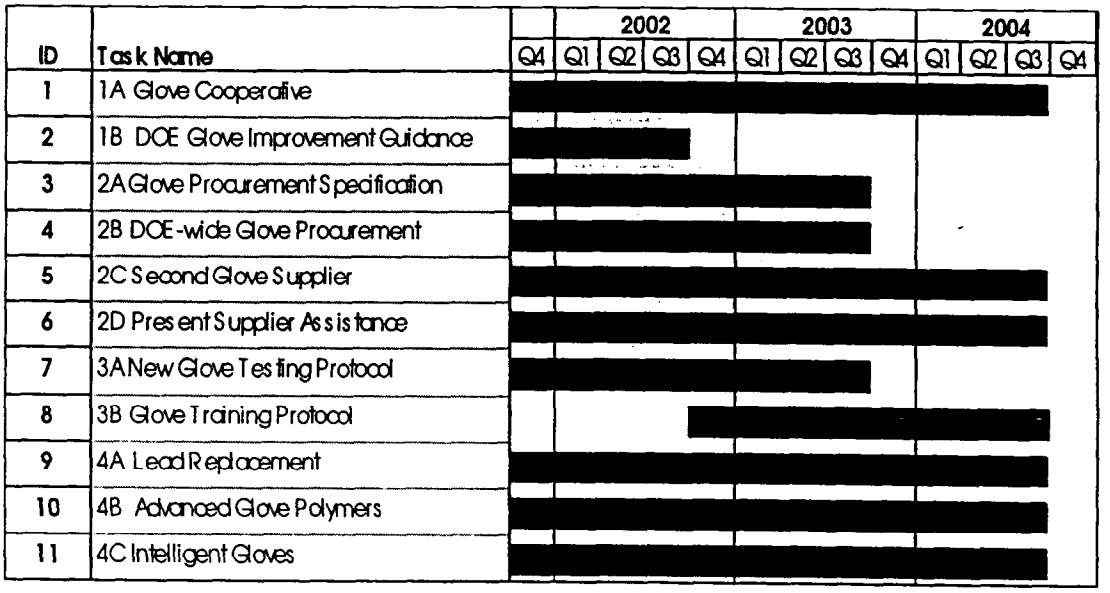
Management, Cost and Schedule

The tasks would be managed and funded through the DOE Complex-Wide Pollution Prevention Program in Albuquerque. DOE/AL would be responsible for overseeing project progress and reporting progress to EM-20. DOE/AL would also distribute funds to sites and monitor financial performance.

Cost is summarized below.

Task Title	Lead	Year 1	Year 2	Year 3	Total
1A Glove Cooperative	DOE/AL	$250k	$250k	$250k	$750k
1B DOE Glove Improvement Guidance	DOE/AL	$100k			$100k
2A Glove Procurement Specification	LANL	$100k	$75k		$175k
2B DOE-wide Glove Procurement	LANL	$50k	$75k		$125k
2C Second Glove Supplier	LANL	$300k	$200k	$200k	$700k
2D Present Supplier Assistance	SRS	$300k	$200k	$200k	$700k
3A New-Glove Testing Protocols	TBD	$100k	$100k		$200k
3B Glove Training Protocol	TBD		$100k	$100k	$200k
4A Lead Replacement Pilots	LANL/TBD	$400k	$300k	$300k	$1000k
4B Advanced Glove Polymers Pilots	LANL/TBD	$400k	$300k	$300k	$1000k
4C Intelligent Glove Pilots	LANL/TBD	$400k	$300k	$300k	$1000k
	Total	2,400k	$1,900k	$1,650k	$5,950k

Schedule is summarized below.



Appendix 1

Integrated Contract Procurement Team (ICPT)

Julie Allen (LANL) -- juliea@lanl.gov
Janette Roberts (Savannah River) -- Janette.roberts@srs.gov
Dawn Moore (Savannah River) -- dawn.moore@srs.gov
tobrienbarden@awe.co.uk
mford@pantex.com (pantex)
Alfred (Neal) Mullens (Rocky Flats) -- alfred.mullins@rfets.gov
Sandra English (Pacific Northwest National Laboratory) -- sl.english@pnl.gov
Peggy Plyler (Savannah River) -- peggy.plyler@srs.gov
Lynn Dresser (LLNL) – dresser2@llnl.gov

Technical Points of Contacts

Los Alamos –	Warren Steckle	Julio Castro	Dave Taylor
Savannah River -	Vernon Gulledge,	Heather Farrer	Tom Stanberry
Oak Ridge -	Taun Vo-Dinh		
Oak Ridge Y 12 -			
Rocky Flats -			
Hanford -			
Idaho -			
Livermore -			

Appendix 3

Reference Materials

J. Macdonald, H. Nekimken, R. Hermes, J. Castro, M Evans, J. Olivas, "A New Glove for Glovebox workers", 1996 American Glovebox Society Proceeding,

R. Hermes, J Macdonald, T. Stampher, D. Ramsey, R&D 100 Award – Real-Time Puncture- Detection, Self-healing Materials.

R. Hermes, E. Valdez-Boyle, T. Stanmpfer, D. Ramsey, "Protective Material with Real-Time Puncture Detection Capability", Performance of Protective Clothing: 6th Volume ASTM STP 1273, 1997

Patent # 5734323 Puncture detecting barrier materials , March 31, 1998

T. Vo-Dinh, T. Pal "Development of a Fluorescence Quenching Technique to Detect Permeation of Chemical Agent Simulants through Protect Clothing Materials" Applied Spectroscopy, Vol. 46, Num 4, 1992

T. Pal, G. Griffin, H. Miller, A. Watson, M. Daugherty, T. Vo-Dinh, "Permeation measurement of chemical agent simulants through protective clothing materials" Journal of Hazardous Materials, 33 (1993) 123-141

M. Daugherty, A. Watson, M. T. Vo-Dinh, "Currently available permeability and breakthrough data characterizing chemical warfare agents and their simulants in civilian protective clothing materials." Journal of Hazardous Materials, 30 (1992) 243-267

Roberto Villarreal, J. David Olivas, William S. Eleazer, "Lead-Free Material for Glovebox Gloves", 1994

Attachment 2

National Analytical Management Program

EM Consolidated Audit Program

Presentation to the Joint DOE Meetings

Honeywell/Kansas City Plant

Todd McIntyre

Science Applications International Corporation

March 22, 2000

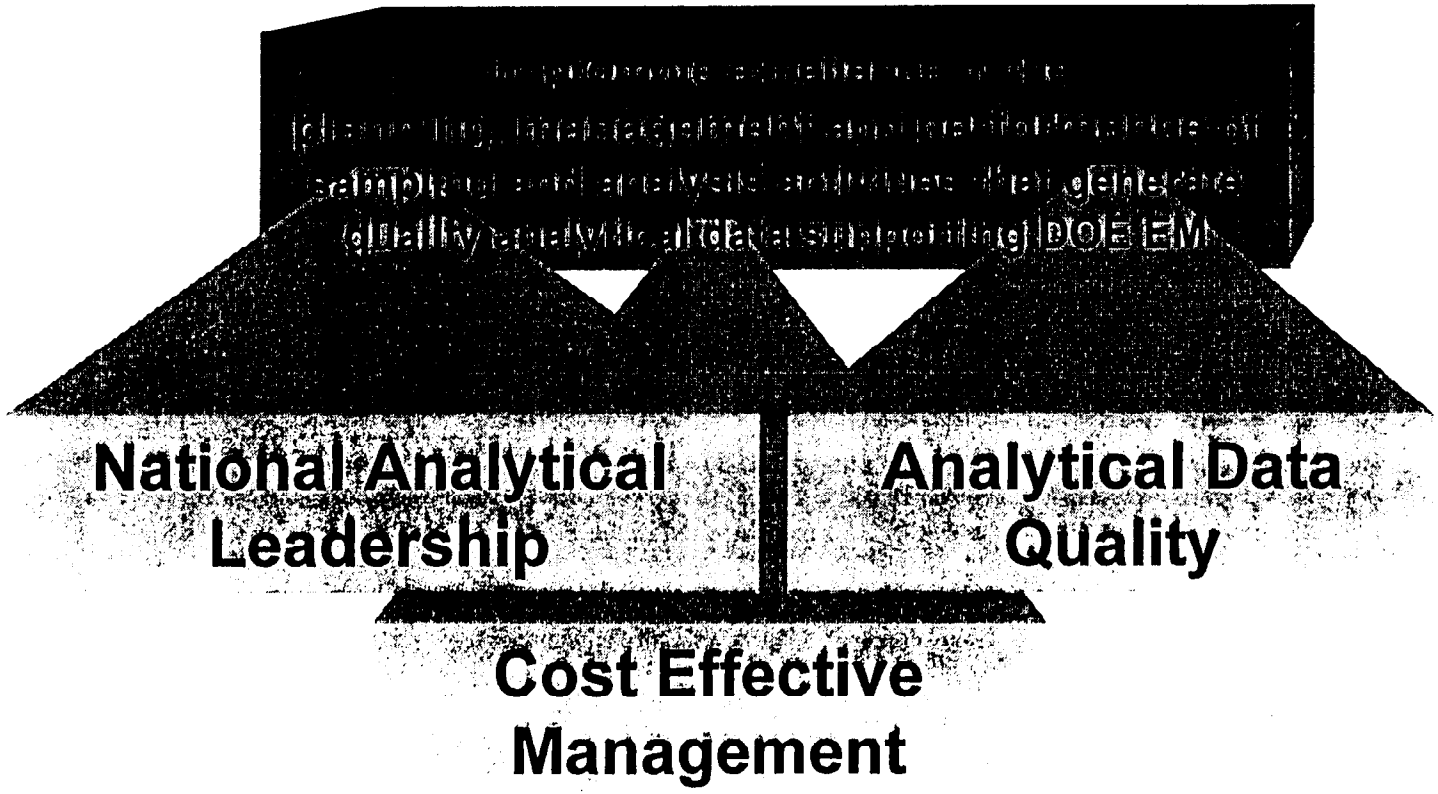
NAMP Mission

To promote excellence in the planning, management and performance of sampling and analysis activities that generate quality analytical data supporting DOE EM

Drivers for NAMP

- National EM Requirements
  - e.g. EM 2006 Accelerated Cleanup Plan
- IG/GAO Reports
  - e.g. IG-0293, 0295, 0374, GAO/RCED-95-118
- Stakeholder Needs for Analytical Services
  - e.g. EM-50 (Technology Needs), EM-30 (Waste Issues), EM Lab Operations Board (Status of GOGO Labs)
- Redeployment MOA

NAMP Program Areas



NAMP Projects/Product Lines: National Analytical Leadership

- EM Office Interface
- NAMP Field POC Network
- National Environmental Laboratory Accreditation Conference (NELAC)
- Methods Inter-comparability
- Lab Waste Policy
- Integrated Informational Databases
- Radiochemistry Scholarships
- Directed Planning Training
- Outreach (National Meetings, Web Page, Reports)

NAMP Projects/Product Lines: Analytical Data Quality

- Radiological Traceability Program
- Performance Evaluation Programs
  - Quality Assessment Program (QAP)
  - Mixed Analyte Performance Evaluation Program (MAPEP)
- DOE Methods Compendium
- Multi-Agency Radiological Laboratory Analytical Protocols (MARLAP)
- DOE EM Electronic Data Deliverable Master Specification (DEEMS)
- General Electronic Data Deliverable (GEDD)
- Inter-Governmental Data Quality Task Force (IDQTF)

NAMP Projects/Product Lines: Cost Effective Management

- Sample Management Network
- Integrated Contractor Purchasing Team
- Program Integration
- Laboratory Price Survey
- Laboratory Decision Model
- Environmental Management Consolidated Audit Program (EMCAP)

EMCAP Overview

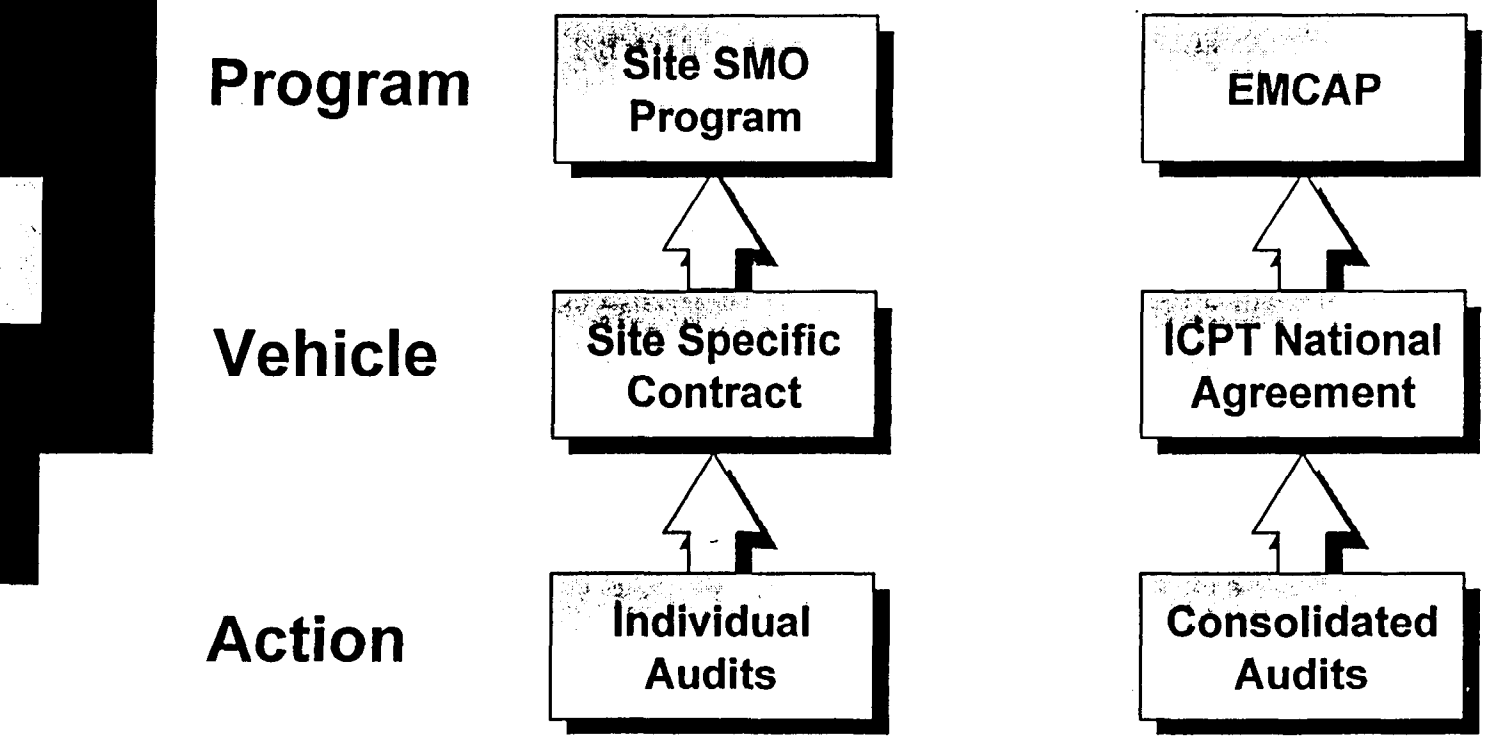
- EMCAP = Environmental Management Consolidated Audit Program
- Design and implement a program for consolidating site audits of commercial environmental laboratories providing analytical services to DOE-EM
- EMCAP was launched in October 1999 with the formation of a working group representing the following DOE Operations Offices:

Richland	**Rocky Flats**
Ohio	**Oak Ridge**
Idaho	**Oakland**
Savannah River	**Albuquerque**

EMCAP Working Group

- Dr. Stan Morton, NAMP Director
  - Charles Reece - DynCorp
  - David Carden - DOE-ORO
  - James E. Chambers - Fluor Daniel Fernald
  - James Merrigan - Lawrence Livermore National Laboratory
  - Lydia Boada-Clista - DOE-OH
  - Mark Marcus - Waste Management Hanford
  - Mark Minteer - Analytical Quality Associates
  - Moheb Khalil - Westinghouse Savannah River Co.
  - Shauna Hoiland - Bechtel BWXT Idaho
  - Stephanie Woolf - DOE-ID
  - Todd McIntyre - SAIC
  - Virgene Ideker - Kaiser-Hill/Rocky Flats

Assessing Data Quality of Environmental Analytical Labs Serving DOE-EM



EMCAP Drivers

- Inspector General Report DOE/IG-0374: "Audit of the Department of Energy's Commercial Laboratory Quality Assurance Program."
  - Of 206 audits reviewed, 103 were redundant
  - Inconsistent standards were applied during audits
  - Results of audits were not shared between contractors
- Implementation of Integrated Contractors Purchasing Team (ICPT) National Analytical Services Agreement
- Requests from NAMP stakeholders for a consolidated audit program

Program Objectives

- Eliminate audit redundancy
- Reduce annual audit costs to DOE-EM
- Develop a consistent approach to auditing commercial laboratories allowing flexibility for site-specific input
- Implement a mechanism to share audit information between different contractor organizations
- Support the implementation of the ICPT National Agreement through the qualification of participating laboratories
- Foster a sense of ownership of program via participation from across the DOE complex

Approach

- Form national working group to provide input to program design and ensure that site-specific needs are met
- Use existing quality assurance programs as the basis for EMCAP procedures and audit criteria
- Reach agreement on program content via consensus
- Conduct shared audits using consistent standards
- Issue audit reports that meet the needs of EMCAP participants
- Maintain flexibility to allow program to suit changing stakeholder needs

Progress to Date

- **November 1999:** Formed EMCAP working group
- **December 1999:** Procedures and audit plates drafted and distributed for review by working group
- **January 2000:** Data collected from complex on qualified pool of auditors
- **February 2000:** Compiled baseline cost data from previous fiscal years to serve as benchmark for EMCAP
- **February 2000:** Pilot audit conducted at General Engineering Laboratories, Charleston, South Carolina
- **March 2000:** Procedures and plates revised based on "lessons learned" during pilot audit

Path Forward

- Establish schedule of shared audits for FY 2000
- Implement auditor training program
- Issue final EMCAP guidance to DOE Complex
- Conduct initial qualification audits of commercial laboratories
- Collect cost data for each audit conducted under EMCAP for baseline comparison
- Design and implement web-based information system to support EMCAP

EMCAP POC Information

Dr. Stan Morton, NAMP Director

Telephone: (208) 526-2186

e-mail: mortonjs@id.doe.gov

Mr. David Carden, EMCAP Audit Team Leader

Telephone: (423) 576-9262

e-mail: cardendm@oro.doe.gov

Mr. Todd McIntyre, EMCAP Working Group Coordinator

Telephone: (301) 924-6113

e-mail: mcintyret@saic.com

Additional NAMP Information

NAMP Website:http://www.em.doe.gov/namp/

NAMP 2K Conference: June 6-8, 2000, Gaithersburg, MD

Dr. Stan Morton, NAMP Director

Telephone: (208) 526-2186

e-mail: mortonjs@id.doe.gov

Attachment 3

JOINT SQIG AUDITS

- SQIG Charter – "A group of individuals within the United States Department of Energy (DOE) contractors, responding to the concerns of customers and stakeholders, developed a strategy to minimize duplicate contractor evaluations of suppliers.

JOINT SQIG AUDITS

SQIG Charter Goals:

- To reduce costs for DOE and its contractors by sharing information on supplier quality.

- To minimize the burden to suppliers by sharing supplier quality information.

JOINT SQIG AUDITS

- Promotes teamwork among SQIG participants
- Increased audit scope
- Improves credibility of SQIG audits

JOINT AUDIT IMPLEMENTATION

- Kaiser-Hill participated in two joint SQIG audits in March 2000
  - 1 as Lead Auditor
  - 1 as an audit team member

JOINT AUDIT ELEMENTS

- Planning
- Preparation
- Performance
- Post Audit

AUDIT PLANNING

- Network to find participants
- Coordinate with the supplier
- Assemble the audit team
- Audit logistics

PREPARATION

- Indoctrination of auditors to the audit process
- Provide supplier quality system documentation
- Collect performance data
- Team assignments

PERFORMANCE

- Pre audit conference
- Daily team meetings
- Post audit conference

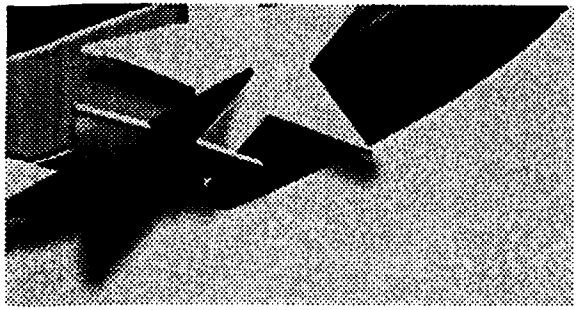
POST AUDIT

- Audit report preparation
- Audit checklist
- Audit follow-up
- SQIG database

OPPORTUNITIES

- SQIG joint audit procedure
- Participation of procurement in audits
- Reduce burden on suppliers
- Reduce redundency by DOE Contractors

Attachment 4



PAAA
Benchmarking and Path Forward for SQIG

Nora Armijo

Norm Sandlin

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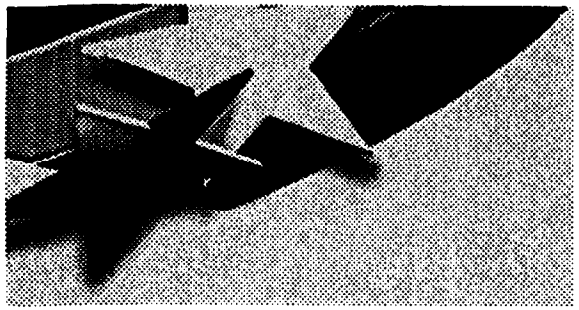

Agenda

- Palo Verde Benchmark
- DOE Complex Benchmarks/Rocky Flats Processes
- Path Forward - where do we go from there

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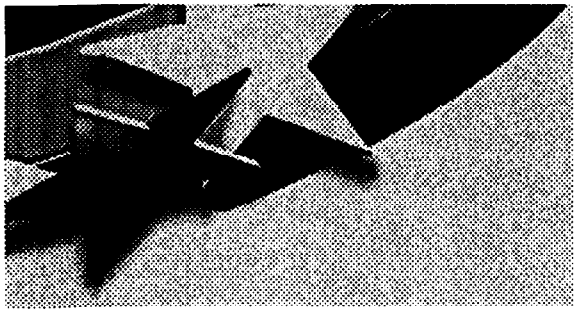

Palo Verde Benchmark

- Participants
- Topics
  - Compliance
  - Quality Assurance
  - Tracking
  - Receipt/Inspection
  - Corrective Action

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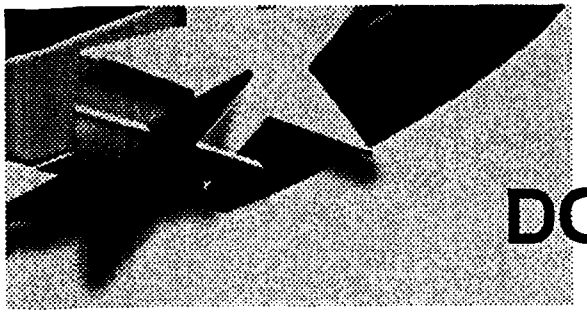

DOE Benchmarking/Rocky Flats Process/Discussions

- Participants
- Topics
  - Compliance
  - Quality Assurance
  - Contractor Selection/Policy
  - Tracking
  - Receipt/Inspection
  - Corrective Action

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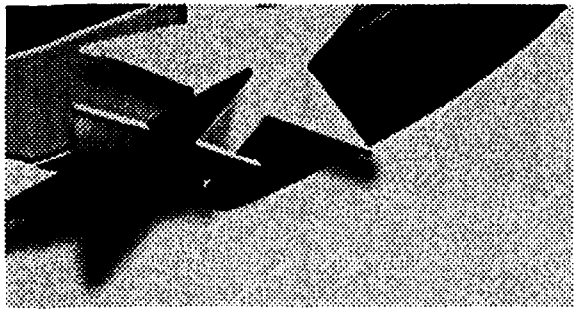

Compliance

- Contractors reported PAAA was applicable at their sites and implemented various processes around nuclear and non-nuclear programs
- Processes for determining PAAA vary dependent on the drivers 10 CFR 830.120, 10 CFR 835, QC-1 and NQA-1
- A graded approach was established at most sites but criteria and implementation varied

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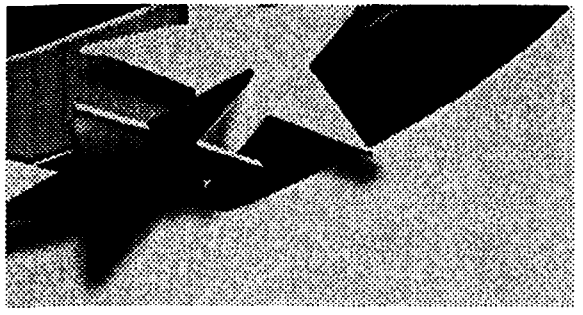

Compliance (continued)

- Work in progress reported by many sites
- Some successes reported but decentralized or fragmented
- Audits and recent reviews of compliance expected to bring sites into compliance

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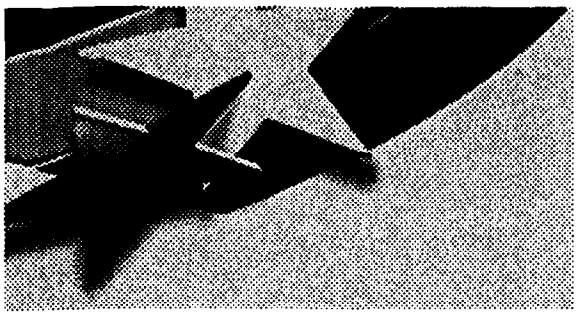

Quality Assurance

- Most QA departments reside in ES&H or Operations
- QA and PAAA interface regularly and work closely
- Many QA and PAAA in same departments
- No consistency on who qualifies suppliers
- Qualification (evaluation) Team varies
- 50% of sites include Procurement in evaluation process

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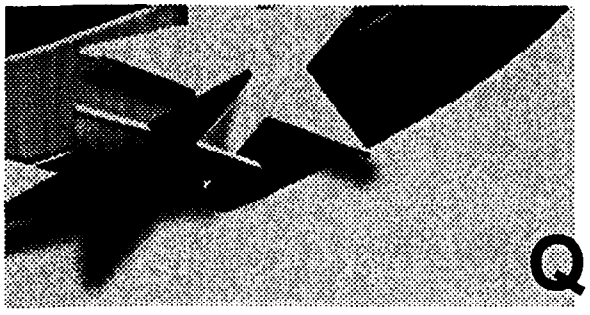

Quality Assurance (Continued)

- Determination for supplier evaluation varies
- Quality levels are in process of being developed at many sites or don't use
- Quality levels 1,2,3 and Non-Quality was one reported structure
- Quality approach incorporated into procurement through procedures, QA categories on PR, review of PR

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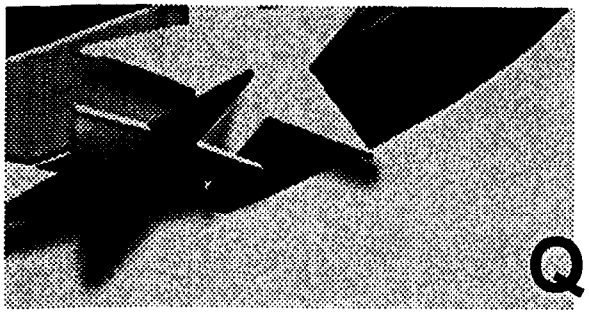

Quality Assurance (Continued)

- Processes to qualify suppliers include site assessments, desk audits, certifications, SQIG
- Processes to qualify/certify suppliers are under development at some sites
- Few sites have Certified Supplier Programs
- Few sites involve Procurement during the Quality Assurance process

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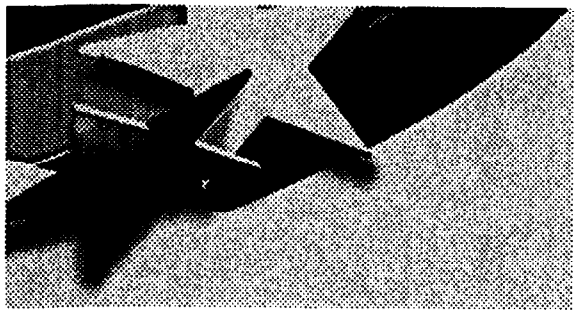

Tracking

- Electronic tracking systems vary; however, few sites appear to be integrated between Procurement and Quality
- Monitoring performance varies ranging from deficiency reporting to technical feedback or "contractor report cards" through Procurement
- Few inspection data bases exist and are frequently not linked to all parties
- Non-conformance reporting or "report cards" are the most common method of communicating contractor performance

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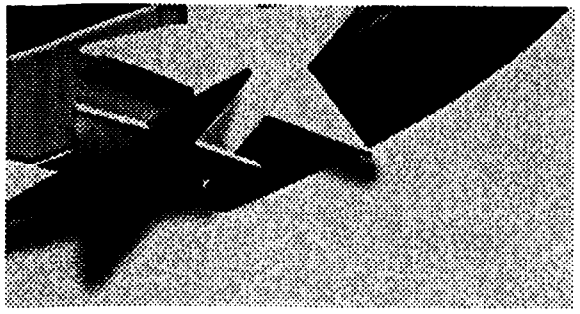

Receipt/Inspection

- Few sites have a formal inspection program and reliance on requester inspection is the most common method
- Some sites have formal inspection programs for quality items only
- Most sites communicate acceptance criteria, test inspection requirements in contracts
- QA requirements provided by the technical customer determine the inspection requirements

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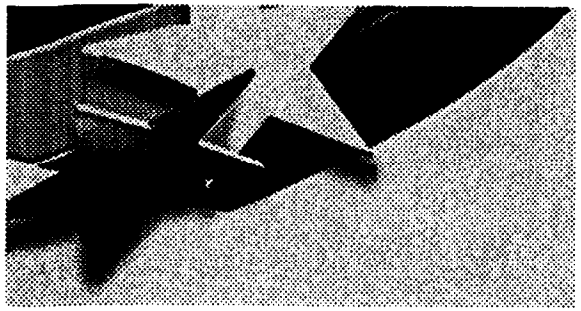

Corrective Actions

- Non-compliance discrepancy reporting is the most common way to communicate the inability of the product to pass inspection
- Procurement may be contacted for cure notice for non-conformance; however, often resolved by technical or quality staff
- Few formal processes and responsibility for NTS reporting to PAAA for deficiencies

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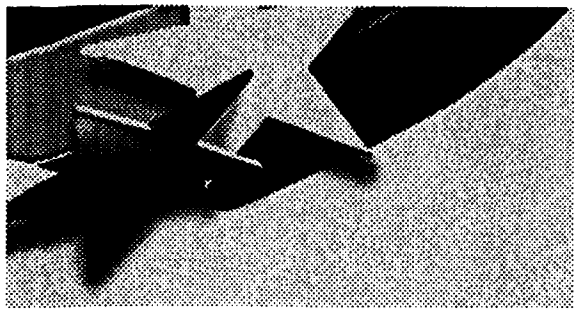

Miscellaneous

- SQIG is utilized by approximately 6 of 9 sites that responded
- Few rewards/recognition programs for suppliers exist other than nomination for SBA awards
- Lessons learned revolved around taking PAAA seriously and communication of requirements
- Few sites have written Procurement and Technical policies regarding PAAA

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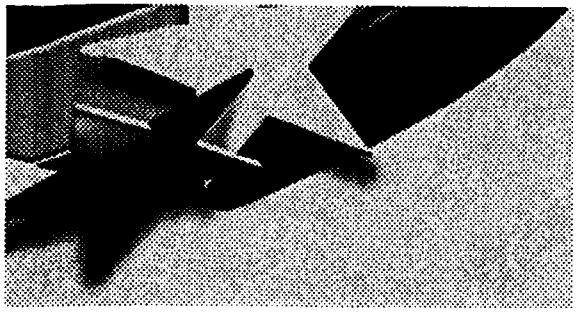

Miscellaneous (continued)

- Suspect/Counterfeit Items
  - Contract clauses and inspection are common at DOE contractor sites, however, there is a sense that this is an area of weakness
  - Inspectors are trained to detect S/CI

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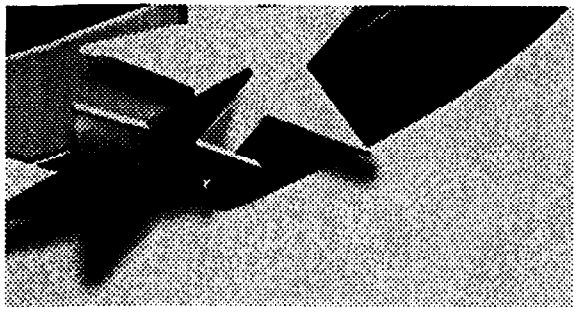

Path Forward

- Where do we go from here?
  - Data Base Group
  - Analytical Laboratory Group
  - Standardization
  - Membership/Marketing/Communications Group
  - Newsletter Group
- Contractor Purchasing Council
- PAAA Benchmark Participants

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Palo Verde Nuclear Plant Benchmark **2/22/00**

Attendees

Nuclear Assurance attendees:
Brad Ecklund
Glen Toner
Rich Phelps
Bruce Giles
Jeff Eaton

Procurement Engineering attendee:
Bruce Tessman

Strategic Procurement attendee:
Linda Ramseyer-Hamblin

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Lynne Adams
Betty Fleming
Ross Miller
Nora Armijo

Palo Verde Demographics

- Purchases up to $300m/year
- Staffing levels (computer enhancements have decreased staff needs)
  - Auditing from 17 to 5
  - Procurement 25 (contract writers and buyers)
  - Procurement Engineering 23 to 16
  - Maintain approved supplier list 6
  - 150 certified suppliers that are still audited
  - 4 certified staff to test products (some contractors)
- Supplier Base
  - 1991 was 20,000
  - 1999 was 3,000
  - Supplier downsize accomplished through working with customers, ensuring customer satisfaction maintained, local spending, second tier utilized
  - Tier process (local s, d, wob, national s, d, wob, international s, d, wob)

Compliance

Palo Verde has been subject to compliance issues since the Atomic Energy Commission through NRC ('50s)

NUPIC

- Use NUPIC data base (download audit information)
- Nuclear Procurement Issues Committee is comprised of 42 utilities

- NUPIC provides some leverage
- NUPIC (membership costs and commitment to review designated number of suppliers)
- Use disclaimer in NUPIC – read report and make your own conclusions
- If they have further NUPIC report questions or disagree, send NUPIC user form request and can audit personally to obtain the clarification or correction but a formal response from NUPIC is expected
- No noticeable evidence of vendor costs decreased as a result of NUPIC
  - some vendors charge (reduced cost to utilities)
  - reduced cost to utilities as a result of reduced audit costs

Audits

- Contractors are audited triannually and more frequently if necessary
- Will share procedures of these audits if legal approval can be obtained
- Three levels of audits
  - Safety
  - Quality Augmentation
  - Non-safety

Processes

- Procurement Engineering determines what needs to be audited
- Use an approved supplier list or dedicated testing
- Have commercial grade surveys
- Independent structure (Quality Organization reports to the President and Procurement reports to the Engineering VP)
- Process significantly opened up the communication
- Quality reviews are part of the chain but have to occasionally look back to see if internal processes are working
- Procurement engineering looks for quality, safety, inspection needs and determines rigor of part
- Request to add vendor comes through procurement for new parts
- Components of QA include audit, inspection, acceptance and source surveillance for non-safety items
- 6 Purchasing categories ranging from commercial grade to quality, quality augmentation and non-quality items
- There are stops in place to avoid direct Purchasing
- Try to use commercial grade when possible (less costly overall)

- Material Log Information System includes Purchase orders, quality module, part #, supplier data base
- Stops orders if restricted for various reasons including inspection, non conformance
- New part number may trigger quality reviews
- TI was contracted to develop their data base in 1996
- Competitive RFQ may require preliminary (surveillance reviews) with a final audit for successful contractors
- Competitive contractor selection may require multi-functional review of proposal
- Tri-annual audit for Palo Verde, NUPIC 2 years, Annual if problems

Corrective Actions

- Internal corrective actions written up (reported to vendor quality – Nuclear Assurance)
  - Warehouse discrepancies notice
  - Quarantined if doesn't meet requirements or outside source
- Supplier breakdown
  - Trends and quarterly reports on supplier deliveries
  - Process documented

Inspections

- Engineering sets up requirements for inspections (plans)
- Certified inspectors
- Inspections based on part and how used (requester and Procurement Engineering)
- Data base captures findings – audit report includes this information
- Audit report includes findings and causes for findings
- Internal corrective actions are reviewed by Procurement Engineering and may be evaluated for a check for plant use
- Become aware of and report supplier problems through NRC
- Vendor correction action report detected through inspection will cite requirement and reported with supplier response
- Use approved suppliers but can lock out purchase orders with note in computer (watch list)
- Process to override some exceptions to purchases with prior clarification from quality or Procurement Engineering

- Process is primarily product driven but may expand to services and may also be vendor driven
- Services (i.e., maintenance) may include the need for calibration
- Contract clauses provide some legal protection
- Look at their sub-tier contractors quality processes also and require notification of substantial changes
- Counterfeit/Suspect Parts clause
- Cannot buy from 3rd party unless delivered directly from original manufacture (no pass-through)
- All boxes are inspected (looking at bar coding JIT)
- P-Card purchases are required to be reported to Receiving unless office products
- Cannot buy safety or critical items through p-card
- A report card has been developed (not yet implemented) for major suppliers (sporadic supplier evaluation during initial implementation)
- Procurement Engineering group is comprised of electrical, mechanical and civil engineers

Location	Question
	Have you and how did you determine what is subject to PAAA at your site? What process did you use?
Rocky Flats	Rocky Flats developed the required QA Program and Implementation Plan as required by 10CFR830.120 upon issuance. From the perspective of applicability and enforceability, 10CFR830.120 applies to nuclear facilities and nuclear activities (activities with the potential to cause radiological harm.
INEEL	The INEEL has two approved PAAA Implementation plans. The Radiation Protection Program (RPP) for 10 CFR 835 Occupational Radiation Protection and the Implementation Plan for 10 CFR 830.120 Quality Assurance Requirements. The Implementation Plan QA Requirements addresses only the areas and activities necessary for compliance with 10 CFR 830.120. A definition of nuclear facilities subject to 10 CFR 830.120 was accomplished. A list of nuclear facilities at the INEEL was identified. The Quality Assurance Directorate, with the technical assistance of the Safety Analysis Committee, maintains the controlled list of nuclear facilities that are governed by 10 CFR 830.120. factors such as complexity, history, regulatory compliance, environmental impact, investment protection, public perception, and best management practices. A Management Control Procedure (MCP)-540 Graded Approach & Quality Level Assignment was written to facilitate implementation of the Quality Assurance Program using a graded approach uniformly across the INEEL.
BNL	We have a PAAA Coordinator and Working Group that determines what is subject to PAAA. There are also various procedures. We have a procedure ... ESH 1.1.1 Price-Anderson Amendments Act Compliance Validation and Noncompliance Reporting Program (https://sbms.bnl.gov/ld/ld08/ld08d021.htm). We also have a group (PAAA Working Group) that reviews all PAAA issues. The group, Independent Oversight, has a web site describing the PAAA (http://www.io.bnl.gov/paaa.htm)
LANL	Yes (in theory)
WIPP	Yes, we determined what is subject to PAAA at our site. We evaluated both nuclear and non-nuclear programmatic and potential to cause radiological harm.
ORNL	The site initially went through this process back in 1995 when DOE imposed the quality rule (10CFR830.120). We first determined the facilities that would be under the quality rule based on the rule itself and the associated guidance provided by DOE. Further, we identified each facility's structures, systems, and components that would be designated PAAA under the quality rule based on their descriptions in each facility's facility authorization basis document. This was accomplished by the Quality Assurance Specialist for each division that owned a nuclear facility working with the appropriate facility managers and their staffs. We have further defined the applicability of the quality rule since DOE issued further clarification that the rule was to apply to single nuclear laboratories (radiological areas) as well as nuclear facilities. We went through the same process to determine applicability to these areas as we originally used with the nuclear facilities. A similar process was used by the Office of Radiation Protection in determining applicability of the 835 rule to nuclear facilities and radiological areas.
ANL	ANL-E has a committee of legal, quality assurance, radiation protection and scientific community professionals that review issues for PAAA noncompliance. This committee makes a recommendation to the site PAAA Coordinator who has the final determination authority.
PPPL	No answer provided
Bechtel Nevada	Initially DOE-STD 1027 was used to determine which facilities were considered nuclear facilities. Those facilities that were considered nuclear facilities were determined to be subject to PAAA under 10CFR 830.120. All DOE radiological activities conducted on the NTS were considered subject to PAAA under 10 CFR 835. Currently BN is expanding the scope of facilities and activities that it considers to be subject to PAAA under 10 CFR 830.120. This expansion of scope is in line with the current EH-10 interpretation of PAAA applicability to any activity with the potential to cause radiological harm.
SNL	Sandia has many applicable QA requirements (including 10 CFR 830.120; DOE Order 414.1A; QC-1; and NQA-1). However implementation of these requirements has been as separate programs, without integration or cohesion across the corporation. Nuclear facilities were previously identified when 10 CFR 830.120 was issued. A process is currently being developed to identify facilities and/or activities that are subject to PAAA. Previously, nuclear facilities were identified using STD 1027.

Location	Question 4
	Have you established a graded approach for QA implementation? What criteria were used?
Rocky Flats	QA program implementation is based on a graded approach. The criteria used includes various sources including safety analysis reports, authorization basis documents, and other information to establish a basis for specific application of requirements. The QA Program includes specific detail regarding graded approach to application of QA Program requirements.
INEEL	A graded approach has been established and implemented at INEEL. The quality levels are used to rank relative importance. They are indicators of relative risk should failure occur, and assigned to items and activities. Quality levels are designated as 1,2, or 3. Items or activities designated as Quality Level 1 have the highest risk and Quality Level 3 the lowest. An exempt classification is also used for items and activities that have negligible risk such as office supplies, library publications, and custodial services. Implementation of the graded approach consists of tailoring the degree of rigor and amount of resources needed to comply with requirements consistent with the task's relation to influence factors. Influence factors considered when using the graded approach include: 1) the relative importance to safety, safeguards, and security, 2) the magnitude of any hazards involved, 3) the life-cycle stage of a facility, 4) the programmatic mission of a facility, 5) the particular characteristics of a facility and 6) other relevant factors such as complexity, history, regulatory compliance, environmental impact, investment protection, public perception, and best management prac
BNL	We have a PAAA Coordinator and Working Group that determines what is subject to PAAA. There are also various procedures. Yes we have a graded approach developed under our QA Program. See https://sbms.bnl.gov/ld/ld06/ld06d281.htm - BNL-QAG-301 Designation of Quality Assurance Classification Categories. It will be revised shortly.
LANL	Basically implemented at upper level for design and construction; drafting QA procedure for procurement of items/services (PAAA or not). No procurement procedure for PAAA exists yet; intent is to generate one.
WIPP	A task team was formed to use approved procedure to evaluate each site process system by system to see how it applies and document on the site intranet what ever applies. In addition, a program document was written to screen all issues and evaluate if any are reportable.
ORNL	ORNL has a Quality Program Description in place for all nuclear facilities and for single radiological areas within generally accepted industrial facilities. This document describes the graded approach we use. Applicability of quality requirements contained in the rule are based upon such factors as: risk to workers and the public, risk of environmental impact, risk to current projects and future funding, and risk to ORNL's reputation. The grading of structures, systems, and components is expected to be a joint activity involving line managers in the facility, the independent Quality Assurance Specialist, and other subject matter experts when needed.
ANL	A graded approach is in place within the Laboratory's Quality Program. No graded approach is used in determining QA noncompliances for applicable nuclear or radiological facilities or activities.
PPPL	No answer provided
Bechtel Nevada	The only approach currently used is that does an activity support a facility or operation that has the potential to cause radiological harm.
SNL	The graded approach is currently being defined. Milestone is 5/1/00.

Location	Question 3
	What are you currently doing regarding PAAA and what are your future plans? How will this put you into compliance?
Rocky Flats	Open NTS reports speak for themselves. Kaiser-Hill (KH) has just been awarded a new contract with DOE for closure of the Site. Significant re-organization is underway and it is premature to say what actions will be taken to comply with requirements.
INEEL	A Management Control Procedure (MCP)-2547 Price-Anderson Deficiency Reporting provides instructions to line management regarding the process for evaluating process deficiencies, occurrences and assessment findings to determine if they are potential noncompliances under the Price-Anderson Amendments Act (PAAA).
BNL	We have revised our Quality Assurance Program and the Implementation Plan. A project team has been established to administer the plan. We have had a formal structured PAAA program for the past 2 years (See 1 above.) This has primarily focused on 835 issues. Our QA program is best described as a decentralized program. The Lab Quality Management (QM) Office developed the lab wide QA Program compliant with 5700.6C/414 and organizations were required to develop local programs & procedures that implemented the labwide program. Our QA Program is being reissued as a mandatory program as part of our Standard Based Management System (SBMS) initiative (visit https://sbms.bnl.gov/ch00d011.htm). The existing QA Program procedures will be re-written as SBMS procedures that organizations will have to follow. These procedures will have minimum set of requirements organizations will have to implement/address. These SBMS QA procedures will be fully compliant with 830.120.
LANL	Basically implemented at upper level for design and construction; drafting QA procedure for procurement of items/services (PAAA or not). No procurement procedure for PAAA exists yet; intent is to generate one.
WIPP	A task team was formed to use approved procedure to evaluate each site process system by system to see how it applies and document on the site intranet what ever applies. In addition, a program document was written to screen all issues and evaluate if any are reportable.
ORNL	We have had a functioning PAAA program for the last four years. We recently hired a team of subcontractors (PAAA personnel from other DOE sites, former DOE personnel) to perform an audit of our systems. We are developing corrective actions on a site-wide basis to fix the problems that were found. The review was very comprehensive, and the corrective actions should put us in good shape relative to future compliance.
ANL	The Laboratory is reviewing its entire PAAA program and making modifications as appropriate.
PPPL	No answer provided
Bechtel Nevada	PAAA has been implemented by the Nevada Test Site Radiation Protection Program and the BN Quality Assurance Plan. Bechtel Nevada has implemented a program for evaluating PAAA concerns for noncompliance through the Company Directive 3200.7, "Price Anderson Amendments Act Review Process." The RPP contains the approved plan for implementing the requirements of 10 CFR 835. The QAP contains the approved plans for implementing the QA requirements of 10 CFR 830.120. CD 3200.7 provides methods for identifying, reporting, and tracking PAAA noncompliances.
SNL	A Price Anderson Quality Assurance Working Committee was formed to address the expanded scope of 830.120. Team milestones include the documentation of a Quality Assurance Program for Sandia; the development of a risk/consequence/quality rigor process to determine the facilities or activities for 10 CFR 120 implementation (that includes defining the graded approach); and the development and completion of a self-assessment process. Sandia has filed a Noncompliance Report in response to Guidance Supplement 99-01. The Report lists Corrective Actions and Milestones in order to come into compliance. In addition, a Procurement PAAA team was formed to address a PAAA compliant supplier certification program that integrates customer requirements and receiving and inspection data.

Location	Question 4
	What is the structure of your QA department and where does it reside (Procurement or Quality Organizations)?
Rocky Flats	KH is responsible for implementation of the QA Program at Rocky Flats. The KH Quality Program organization reports to the Environmental, Safety, Health, and Quality Division of KH. KH Procurement Quality Assurance is a group within KH Quality Program.
INEEL	Quality Department resides within the Quality Systems. The Quality Systems consists of a Director with three departments. These three departments are Quality Programs, Calibration Services and Quality Field Support.
BNL	Quality Department resides within the Quality Systems. The Quality Systems consists of a Director with three departments. These three departments are Quality Programs, Calibration Services and Quality Field Support.
LANL	Quality group within ES&H Division
WIPP	Quality Organizations; Quality Assurance is divided between the audit and inspection personnel. QA is centrally located and schedules work requirements between applicable groups. All work is coordinated by a plant wide "Plan of the Day" schedule.
ORNL	The Office of Quality Services resides within the Operations, Environment, Safety, and Health Directorate. It is further subdivided into the following sections: 1) Spallation Neutron Source - dedicated quality effort for the SNS, 2) QA Program Support - QA Specialists distributed on a functional basis to the line organizations or divisions, 3) Research Reactors quality - dedicated quality effort for the High Flux Isotope Reactor, 4) Issues Management and Support Services - includes such functions as Occurrence and PAAA reporting activities, the ORNL Audit Center and Lessons Learned programs, and Low Level Issues reporting and contract metrics and 5) Quality Engineering and Inspections
ANL	The Director, ESH/QA Oversight is the primary person for QA policy at the Laboratory. The Senior Assessment Advisor in the ESH/QA Oversight organization handles the day-to-day oversight responsibilities of this office. Each Associate Laboratory Directorate (ALD) has a ESH/QA Representative that provides support and direction to divisions within the ALDship. Each division has a quality assurance representative who manages the day-to-day QA operations within the division.
PPPL	QA Depart. As part of Environmental Safety & Health and Infrastructure Support organization
Bechtel Nevada	The QA department resides under the Deputy General Manager for Services.
SNL	Procurement does not have a QA department. There are many "pockets" of quality at Sandia but no centralized Quality Assurance department. In the weapons arena, the Quality Assessment Department now reports directly to the Executive Vice President, as is a recently reorganized corporate quality department. The PAAA Office reports directly to the Laboratory Services Division Vice-President and the functional area for Corporate Quality reports directly to the Executive VP.

Location	Question 5
	Is 830.120 the driver for your QA Program or do you include 830.120 as part of the overall QA program designed to implement 414.1, et. al.?
Rocky Flats	As stated above, 10CFR830.120 is the driver for nuclear facilities/activities. DOE Order 414.1A is the driver for non-nuclear activities.
INEEL	10 CFR 830.120 is included in the overall Quality Assurance program designed to implement 414.1.
BNL	No answer provided
LANL	YES
WIPP	830.120 is the driver for our program. 414.1 is not imposed in our current contract with DOE. The similarities of 830.120 and 414.1 lead us to believe that we could fully comply if it was imposed.
ORNL	DOE O 414.1A and 10 CFR 830.120 are both part of our QA Program.
ANL	DOE O 414.1A and 10 CFR 830.120 are both part of our QA Program.
PPPL	B. part of overall program
Bechtel Nevada	Our quality system incorporates the ten criteria of DOE O 414.1 "Quality Assurance" and 10 CFR 830.120, "Quality Assurance Requirements", (for nuclear facilities)
SNL	The entire corporation is required to follow 414.1A utilizing a graded approach. Not every facility or activity will fall under 830.120, therefore, 830.120 is driving our nuclear reactor and non-reactor radiological facilities and activities, but is considered part of the overall QA program and a subset of 414.1A. The driver for the weapons R&D programs and production areas is QC-1, which is also a subset of 414.1A.

Location	Question 6
	How does your QA department interface with your PAAA Organization?
Rocky Flats	Quality Program maintains regular interface with the PAAA organization through bi-weekly Site Quality Council meetings, staff meetings and regular work activities.
INEEL	The directors of both organizations report to the same manager.
BNL	Our office would report any possible violations discovered, mainly through assessments, to the PAAA Coordinator. QM Office participates in the PAAA Working Group that reviews PAAA issues.
LANL	Peer groups within the same division (at present)
WIPP	The PAAA Organization is a sub-group within QA.
ORNL	Quality personnel were heavily involved in the initial determination of what facilities or activities fell under the PAAA venue. They regularly assist line personnel in ensuring current activities such as procurement, work procedure formulation, calibration, and other work aspects are compliant to PAAA requirements. They are currently involved in ensuring PAAA compliance in performance of regular division-level surveillance and as site-level auditors. QA personnel also act as fact finders in the process of determining if issues are PAAA related especially when determinations are being made as to whether a problem or issue is PAAA reportable.
ANL	The Director, ESH/QA Oversight is the ANL-E PAAA Coordinator
PPPL	QA Mgr. is on PAAA committee
Bechtel Nevada	No answer provided.
SNL	Representatives from Corporate Quality, QA, PAAA, ES&H, Procurement, and the Weapons Quality Assessment Department are members of the PAAA QA Working Committee. Biweekly meetings are held to address specific issues or complete milestone dates.

Location	Question 7
	What group qualifies suppliers?
Rocky Flats	KH Procurement Quality Assurance (PQA) evaluates subcontractor quality systems. This not a 'qualification' but rather an evaluation of the subcontractors quality system for effectiveness of implementation.
INEEL	The Procurement Quality organization qualifies suppliers.
BNL	At present, there is little qualification of suppliers. These qualifications are done by the requisitioning organization. Some procurements are done by an RFP, and evaluation board is set up.
LANL	varies
WIPP	QA with input from Purchasing.
ORNL	We currently have no central site group that performs this function. We do make use of the NIAC on high-risk purchases for nuclear facilities or radiological areas, and we use the SQIG system on a limited basis. In most cases, requesters and their line management organizations are expected to use the help of their QA Specialists, technical personnel, procurement personnel, and other subject matter experts to ensure that procurements meet the PAAA requirements.
ANL	Primarily, the requisitioning organization with support by the Procurement Department.
PPPL	Procurement
Bechtel Nevada	The Performance Assurance (QA) organization is totally responsible for qualify suppliers at BN.
SNL	At present, Sandia does not have a Corporate or Procurement quality assessment function for non-weapon related activities. The Quality Assessment Department (weapons) has the responsibility of qualifying their suppliers to either QC-1 or ISO9001. A quality assurance person from the Radioactive Waste/Nuclear Material Disposition Department is also responsible for qualifying suppliers to NQA-1 or 830.120. There may be other organizations that qualify suppliers but they are yet to be identified.

Location	Question 8
	Who is on the qualification team?
Rocky Flats	KH PQA leads all evaluations. Interpreting this to mean 'audit team', technical experts are always requested to particulate in audits. Due to funding issues, actual participation has been minimal however, their input to the audit is used whenever possible. PQA also uses input from source inspection personnel when available.
INEEL	The qualification team consists of a Procurement Quality Lead Auditor/Evaluator and a Technical Representative of the program.
BNL	There is no set team make-up, but the usual mix is someone from the requisitioning organization, a subject matter expert, and a QR. We don't have a formal supplier qualifications process. We don't have a separate group that qualifies suppliers. Each organization is responsible for evaluating their own suppliers based on item requirements. QM Office has participated in suppliers evaluations (bid proposal reviews and site visits). However, we are looking into this as a point of possible risk, that may need more formalization.
LANL	Varies
WIPP	QA, and if applicable, cognizant engineer and buyer.
ORNL	Qualification teams are usually the personnel listed in #7 who come together on a ad-hoc basis per the need of each procurement situation.
ANL	The requisitioning organization determines the members of the team on a case-by-case basis considering the expertise required.
PPPL	Varies with job, for most critical a common composition is: Procurement, QA & Engineering
Bechtel Nevada	It depends upon the type of audit, but is always a Lead Auditor, could have auditors and technical personnel along as well.
SNL	Sandia does not have a qualification team for PAAA supplier qualification. There is one person who qualifies suppliers for the Radioactive Waste products. In the weapons arena, a typical team consists of two Quality Engineers/Auditors, a design/component engineer, and a representative from the Primary Standards Lab.

Location	Question 9
	Is Procurement a part of the qualification process?
Rocky Flats	Procurement is involved but rarely participates in the evaluation process.
INEEL	Procurement is part of the qualification process.
BNL	Procurement is not usually involved in the qualification except maybe on an RFP. Yes, procurement is part of the supplier evaluation process.
LANL	Not really at present
WIPP	Yes
ORNL	Procurement personnel are often included in this process, and as the conveyor and receiver of information from perspective vendors.
ANL	The Procurement Department provides advice and support for the business and financial elements of the qualification criteria.
PPPL	Yes
Bechtel Nevada	No. Procurement is only involved in the issuance of the contract or purchase order. The procurement department depends upon the end-user to supply them with any requirements and QA supplies them with the quality requirements.
SNL	To a limited extent, a buyer may be requested to participate in the qualification process.

Location	Question 10
	What determines whether a supplier is to be evaluated?
Rocky Flats	The need for supplier evaluations is determined by project personnel in accordance site infrastructure.
INEEL	Supplier evaluation and qualification applies to the procurement of all quality significant items and services as per MCP-591 Supplier Evaluation and Qualification. The prerequisites to evaluate a new supplier include 1) the supplier is not currently on the Qualified Supplier List, and 2) sufficient justification exists to warrant qualification of a new source.
BNL	The requisitioning organization is responsible to determine if an evaluation is required. The potential ESH impact of the item being purchased. However, this will have to be reevaluated based on potential PAAA impact.
LANL	Technical personnel's review of requirements and whether QA evaluation is needed.
WIPP	Need and good business practices.
ORNL	Depends on the type of structure, system, or component we are buying. Its planned use, what facility it will be used in, associated hazards, line management's and subject matter expert's opinions. It is done on a case-by-case basis.
ANL	At the current time, the requisitioning organization makes the decision based on a case-by-case determination. The Laboratory is in the process of developing a sitewide process.
PPPL	Concurrence among Procurement, Engineering and QA
Bechtel Nevada	BN has a process in place that provides a list of items/services for which suppliers must be qualified. Also it also depends a lot on what the item/service is to be used in.
SNL	Weapons-related, nuclear and radiological facilities require supplier evaluation. Otherwise, supplier evaluation would be determined by the Requester who may seek quality assurance assistance.

Location	Question 11
	What quality levels do you use?
Rocky Flats	Rocky Flats currently determines the importance of items and services by system categories and the importance to waste characterization/packaging. Procurement of these items and services may be made under three Procurement Levels. This of course is under review/revision and will likely change soon, along with the organizational structure that implements it.
INEEL	Quality levels are designated as 1,2, 3 and Non Quality (NQ). Items or activities designated as Quality Level 1 have the highest risk and Quality Level 3 the lowest.
BNL	Refer to answer #2
LANL	No answer provided
WIPP	IIIA, IIIB
ORNL	We do not use a quality levels based system.
ANL	None are currently in place sitewide. They are under development.
PPPL	Formal levels are not established
Bechtel Nevada	It really actually depends upon the critical use of the item/service and the liability that BN may have or incur.
SNL	We are in the process of defining quality levels - milestone is May 1, 2000.

Location	Question 12
	How is the graded approach incorporated into your procurement processes?
Rocky Flats	See question 11. A detailed explanation would be too much for this survey.
INEEL	A Management Control Procedure (MCP)-540 Graded Approach & Quality Level Assignment was written to facilitate implementation of the Quality Assurance Program using a graded approach uniformly across the INEEL.
BNL	As part of the process, all items/services have to be assigned a QA Category. See BNL-QAG-301 Designation of Quality Assurance Classification Categories (https://sbms.bnl.gov/ld/ld06/ld06d281.htm) and related, BNL-QAG-301, Appendix A - Supplementary Guidance for Assigning QA Categories A-1 through A-4 (https://sbms.bnl.gov/ld/ld06/ld06d291.htm), BNL-QA-101 BNL Sellers Quality Assurance Requirements (attached pdf file), Guide to BNL-QA-101 Guidance for Completing BNL-QA-101, Sellers Quality Assurance Requirements (attached pdf file)
LANL	Procedure in final draft.
WIPP	No answer provided.
ORNL	Primarily as described in #10. The level of vendor evaluation, surveillance, formality of documentation (specs vs. a simple purchase requisition), receipt inspection, and other issues are determined on a situational basis. Divisional (line management) considerations pertinent to ESH and quality, in concert with subject matter experts and procurement personnel, are the main drivers for this process.
ANL	The use of quality levels is under development.
PPPL	In the evaluation of each procurement by Procurement, QA & Engineering
Bechtel Nevada	Our Management Description provides a means to achieve a single, integrated approach to quality requirements, to ensure that the level of resources expended are commensurate with the level of risk (either programmatic, operational, or health- and safety-related) being abated.
SNL	We are in the process of defining the graded approach - milestone is May 1, 2000.

Location	Question 13
	What processes do you use to qualify/certify suppliers?
Rocky Flats	See question 7. There is no process for supplier 'certification' at Rocky Flats
INEEL	There are 4 processes used to qualify/certify suppliers. Type I is on-site evaluation to nationally recognized Quality Assurance program. Type II is a comprehensive evaluation of quality system documentation as well as evidence of system implementation and technical capability based on the applicable nationally or internationally recognized standards, codes, specifications, and/or regulations. Type III is an on-site evaluation of commercial grade item distributors to assess basic business management and material control practices. Type IV is an evaluation of current capability based on upon available performance history in supplying similar products and services.
BNL	We don't have a formal process to qualify/certify suppliers, but generally is based on either site evaluation, or a desk review. See 8 above. Supplier evaluations depend on the item being purchased.
LANL	See #12
WIPP	Approved Supplier: Completed a Supplier Application Form and has been added to our supplier database. Qualified Supplier: A supplier that has successfully completed a QA audit allowing Purchasing to purchase what ever material or service that was approved. Certified Supplier: A supplier that has met all the requirements of our Certified Supplier Program. (90% or better on-time-delivery rate and 10% or less rejection rate.)
ORNL	Requesters, along with the personnel mentioned above, develop procurement documents that describe the technical, ESH, and quality needs that must be met in each procurement. The requester, with the help of the various subject matter personnel, may visit the vendor site to determine capabilities. He/she may also use quality assurance, procurement, and other personnel in site visits to ensure that the vendor has the necessary capabilities.
ANL	This is determined on a case-by-case basis by the requisitioning organization. A sitewide process is under development.
PPPL	Supplier history, supplier audits
Bechtel Nevada	We use three processes to qualify vendors, (1) an actual assessment, site visit, (2) Quality records review, were we can accept certifications (ie., ISO cert, FAA, ASME) and the use of SQIG, and (3) we can hire auditors to perform vendor assessments.
SNL	Weapons-related, nuclear and radiological facilities qualify or certify suppliers according to any of QC-1, Engineering Procedures, 10 CFR 830.120, or NQA-1.

Location	Question 14
	At what point does Procurement become involved in contractor selection prior to the RFQ stage?
Rocky Flats	I couldn't say.
INEEL	The subcontractor is selected and approved by Procurement.
BNL	Procurement doesn't usually get involved in contractor selection. They make recommendations based on their vendor experience.
LANL	No implementation at present
WIPP	As soon as we are notified.
ORNL	Procurement is called when a purchase is planned. This organization acts as the go-between or conveyor of information from the vendor to the requester, and visa-versa.
ANL	Upon preparation of a procurement milestone plan for significant procurements or receipt of a purchase requisition from the requisitioning organization.
PPPL	At the RFQ stage unless it is a very significant procurement which are rare
Bechtel Nevada	Procurement would normally get involved either in the acquisition planning stage or upon receipt of a purchase requisition. Procurement requires a Business Strategy Panel (BSP) meeting be held on all requirements over $100,000 or on procurements with complex requirements. These BSP meetings are used to gather input from the various compliance groups (such as PA) which may have special requirements involved in the requirement. Procurement attempts to get involved at the earliest possible stages of any purchase.
SNL	Procurement is involved in the acquisition planning phase. However, the requester is the prime driver of source list. The buyers are currently not involved in the QA process.

Location	Question 15
	Do you have a tracking system for qualifying suppliers and what information is contained in this system? (COTS, internal)
Rocky Flats	KH PQA maintains an Excel-based tracking system for evaluation new subcontractors as well as performing annual evaluation of approved subcontractors. This includes an evaluation tracking number, the subcontractor/location, assigned evaluator, assigned/due/completed dates, method of evaluation and results.
INEEL	A current tracking system exists. The system consists of Supplier Evaluation Report form, Commercial Distribution Evaluation Checklist, Vendor Assessment Plan, Qualified Supplier Change Authorization and an electronic database.
BNL	No. Procurement has an internal database of supplier performance.
LANL	NO
WIPP	On-time-delivery rate and rejection rate.
ORNL	Very little is done in this area on a site basis. Most of it is done on the requester level. We do use the NIAC system for high-risk, high dollar applications.
ANL	None as yet.
PPPL	No
Bechtel Nevada	Vendor qualification is done through the Performance Assurance organization. All qualified vendors are contained on the QSL, which is updated quarterly. Information on the QSL includes the period of time the qualification is for, the commodity or service that the vendor is qualified to perform vendor address, contact and phone number, and the method used to qualify the vendor. The QSL is available in hard copy and on the Intranet.
SNL	There is an internal corporate database that contains internal and supplier data. This database contains information from weapons related audits. There are also many individual databases that are maintained by various organizations but we do not know if any of these databases are used to track supplier qualification.

Location	Question 16
	How do you monitor their performance?
Rocky Flats	Monitoring is through receiving inspection deficiency reports, Contract Technical Representative performance reports and any other information obtained internally or externally.
INEEL	The performance is monitored through QA receiving, supplier evaluation system and source inspections.
BNL	Requisitioners are requested to provide feedback to Procurement. Procurement records and tracks vendor complaints and summarizes them into quarterly reports. Performance is measured based on the number of nonconformances issued to a supplier.
LANL	Varies
WIPP	Monthly reports.
ORNL	This is primarily based on requester feedback, and their willingness to file nonconformance reports, or other complaint routes to Procurement.
ANL	The requisitioning organization determines performance criteria and monitors them during the performance life.
PPPL	informally
Bechtel Nevada	Performance is monitored through the use of Subcontract Technical Representatives (STR). A survey is completed by the STR for all subcontracts in excess of $100K and also for all tasks performed under task order subcontract agreements.
SNL	Procurement monitors supplier performance through the Quality for Excellence from Suppliers Team process (QUEST). However, this is not a compliance-related process and currently contains a "report card" of high dollar and construction contracts, that is prepared by the requester and buyer on the past performance of a supplier. This process does not currently include high-risk, PAAA, or other supplier audit data.

Location	Question 17
	Do you keep an inspection database?
Rocky Flats	Receiving inspection is performed by a KH subcontractor and there is not, to the best of my knowledge, a database.
INEEL	Yes
BNL	There is no inspection database.
LANL	? - ? - essentially no
WIPP	Yes, monthly rejection rate report.
ORNL	Yes.
ANL	Not as yet.
PPPL	No longer
Bechtel Nevada	None at this time, however we are trying to develop one.
SNL	Some inspection databases are maintained by various organizations. There is no formal inspection program for non-weapon related work nor is there a centralized inspection/test function.

Location	Question 18
	How are performance results communicated to Procurement?
Rocky Flats	KH PQA reports performance to procurement upon completion of evaluations. Receiving deficiencies are reported electronically as written. There is not currently one system that provides overall performance of subcontractor performance.
INEEL	The supplier's performance is communicated to Procurement through the Supplier Performance Evaluation System.
BNL	Performance results are only communicated to Procurement if a nonconformance occurs. We have several mechanisms ... Procurement gets copies of Nonconforming Reports documenting incoming inspection as well as operating problems.
LANL	NOT Receipt/Inspection
WIPP	Monthly reports and daily quality and quantity variance reports generated by warehouse/QA inspection.
ORNL	See #16.
ANL	Reports of nonconformance and supplier disposition requirements are issued by ANL technical representatives or suppliers to document nonconformance.
PPPL	informally
Bechtel Nevada	The only performance results communicated to the Procurement Department are copies of the vendor qualifications. On orders over $100K procurements sends out a Subcontractor Performance Evaluation Form to the STR for them to complete and return to procurement.
SNL	The performance results mentioned in item 16, are communicated to Procurement via a supplier evaluation form prepared by the Requester and Buyer. The performance results obtained during weapons-related audits are not communicated to Procurement, nor are the performance results obtained from Radioactive/Waste department audits communicated to Procurement.

Location	Question 19
	Describe your receipt and inspection program?
Rocky Flats	Incoming items having a specific code are sent to the Receiving Certification & Inspection (RC&I)group. Item inspection criteria is required to be included in procurement specifications. RC&I performs inspection in accordance with the inspection criteria in the specifications. Deficiencies are documented and dispositioned prior to acceptance. Accepted items are identified as such by tags.
INEEL	The material is received and inspected at the QA receiving department. The inspection is according to the Inspection Plans issued by the Procurement Quality Engineer. The criteria for the Inspection Plan are based on the flow down clauses.
BNL	Each organization is responsible for determining what needs to be inspected. Our central receiving checks each order for correct part number and count, and any visible damage. Each organization is responsible for Receipt/Inspection of procured items. Cognizant engineers / investigators determine what is inspected / tested, develop needed procedures and arrange to have the inspection / test performed. Necessary records are maintained by cognizant engineers / investigators.
LANL	Responsibility of requester; can arrange for Lab QA group to perform (back charged
WIPP	All QA items received into the warehouse can not be electronically accepted for payment until a receipt inspection has been completed and approved by QA.
ORNL	We have a full-time receiving inspector in the Materials Receiving area. Requesters are required to specify receipt inspection on the procurement paperwork. We also have technical personnel who do receiving inspection based upon requirements contained in the original purchase documents.
ANL	No answer provided.
PPPL	Receipt inspection has been made the responsibility of the requisitioner. When receipt inspection is required, payment is withheld until Requisitioner accepts items
Bechtel Nevada	We do not have a receipt and inspection program except for a kick and count. The end-user may elect to have a receipt of an item but this is entirely his responsibility to maintain.
SNL	Sandia does not have a formal receipt/inspection program. However, inspection and testing of incoming materials/items are conducted in certain functional areas, such as Production and Radioactive Waste.

Location	Question 20
	How do your procurement documents describe acceptance criteria, test inspection requirements?
Rocky Flats	Specifications included in procurement documents are required to include acceptance criteria, test inspection requirements, etc.
INEEL	The acceptance criteria and test inspection requirements are specified in the Inspection Plans.
BNL	Any acceptance criteria, test, or inspection requirements are prepared on a Lab-wide form that is forwarded to the supplier through Procurement. When required, these are developed by the cognizant engineers / investigators and included in the part specification transmitted to vendor with PO.
LANL	In detail (if furnished by requester)
WIPP	All QA requirements documented on the purchase requisition flow down and are incorporated into the body of the purchase order.
ORNL	They are most often included in specifications or on purchase requisitions as quality clauses. They can also be technical systems requirements that are verified at both the vendors' and our site upon receipt.
ANL	Procurement solicitation and award documents incorporate forms ANL-407 and "Quality Assurance Procurement Requirements" and ANL-206 "Acceptance criteria listing" when specified by the divisional quality assurance representative or a procurement is designated for a "nuclear facility."
PPPL	As an attachment to the RFQ/PO or through Specifications/Statements of Work for more complex items
Bechtel Nevada	These requirements are generally defined by the requestor and hopefully with input from the Performance Assurance group and should be included in the SOW if required.
SNL	The requester is responsible for describing the acceptance criteria or test/inspection requirements.

Location	Question 21
	How do you determine what needs inspection?
Rocky Flats	RE: Question 11. Items procured Procurement Level 1 or 2 require inspection.
INEEL	The inspections are based on the specified and programmatic requirements.
BNL	Based on the QA Category, items that require inspection are determined. Cognizant engineers / investigators provide / develop the necessary acceptance criteria, test inspection requirements based on the application of the item.
LANL	No answer provided
WIPP	The onus is on the requisitioner and/or cognizant engineer to determine if QA is applicable and then all QA requisitions are required to have QA review prior to being sent to Purchasing.
ORNL	This decision is based on risk inherent with the item usage. Certain items such as lifting devices, and other personnel protection related equipment are automatically inspected.
ANL	This is determined on a case-by-case basis by the requisitioning organization.
PPPL	Concurrence between QA & Engineering
Bechtel Nevada	This is left up to the end-user or requestor.
SNL	There is no formal process in place.

Location	Question 22
	If product does not pass inspection, how is this communicated to Procurement and the supplier?
Rocky Flats	See question 18
INEEL	The requirements of corrective action are communicate through Receiving Inspection Discrepancy Reports and the Non-Compliance reporting system.
BNL	There are several mechanisms to report incoming nonconformances to Procurement: the Lab-wide inspections form; a nonconformance report; a telephone-based reporting form; and a web-based form. Nonconforming reports are generated and copies go to procurement. Requisitioner may contact vendor to discuss any problems encountered ... but procurement is supposed to be informed.
LANL	Inspection reports to requester; requester notifies procurement.
WIPP	A quality and quantity variance (Q&Q) is generated and E-Mailed to the buyer, followed by a hard copy.
ORNL	The requester, often with the help of QA personnel, conveys this information to the Procurement buyer who contacts the vendor.
ANL	See above. Reports of noncompliance.
PPPL	Nonconformance Report
Bechtel Nevada	It is up to the requestor to advise the procurement representative if the items do not meet he inspection requirements. If an inspection is required it should be coded as such in the PO shipping screen. Accounts Payable cannot release payment until this is changed in the PAPS system and Procurement requires something in writing from the requestor before removing this hold. If they do not pass inspection the supplier is notified in writing of the discrepancy and asked to correct it.
SNL	A formal feedback loop does not exist. The end user often solves the problem without procurement involvement.

Location	Question 23
	Does Procurement give the supplier a cure notice or is other corrective action taken?
Rocky Flats	When required by specific circumstances, yes. Normal action is to notify the subcontractor of the deficiency. This, we (KH PQA) have found through our interface with the subcontractors, is not effectively implemented.
INEEL	The requirements of corrective action are communicate through Receiving Inspection Discrepancy Reports and the Non-Compliance reporting system.
BNL	Procurement will only send a notice or request corrective action if requested by the requisitioner, or based on their internal performance database. Supplier is supposed to respond as to the corrective action taken. Requisitioner is to be informed and agree to this action. Procurement negotiates any impact on money & schedule.
LANL	Yes – if procurement is notified.
WIPP	Corrective action is on a case by case basis. The corrective action is based on the severity and/or the repetitiveness of the issue.
ORNL	Vendors are directly notified as to the required corrective action. There is no centralized system for this activity.
ANL	The Procurement Department rejects nonconforming supplies or services unless deviation is in the Laboratory's interest. That is, where the supplier is given an opportunity to correct or replace nonconforming supplies or services within the required delivery schedule without additional cost to the Laboratory, or where acceptance of nonconforming supplies or services is otherwise in the Laboratory's interest.
PPPL	If the item is rejected the supplier must provide a remedy
Bechtel Nevada	Procurement has a Show Cause and Cure Notice system.
SNL	If procurement is involved and the supplier is severely deficient, the supplier may be given a cure notice. QUEST also has a corrective action process in place.

Location	Question 24
	When a deficiency is noted, how is this communicated to the PAAA Org. for NTS reporting purposes?
Rocky Flats	A PAAA screening process is in place to review applicable deficiencies for PAAA applicability.
INEEL	A discrepancy is communicated to the PAAA organization through Issue Communication and Resolution Environment (ICARE) system.
BNL	Any deficiencies noted would be forwarded to the PAAA Coordinator for review. This is to be evaluated by the organization per guidance in ESH 1.1.1 Price-Anderson Amendments Act Compliance Validation and Noncompliance Reporting Program (see 1 above).
LANL	Responsibility of requester at present
WIPP	The PAAA Organization is part of the QA Organization. All issues are evaluated and categorized.
ORNL	Through the line organization that purchased the item.
ANL	The organization identifying the deficiency is responsible for notifying the PAAA Coordinator.
PPPL	No answer provided
Bechtel Nevada	none are this time
SNL	There is no formal process in place.

Location	Question 25
	To what extent do you use SQIG or any other information-sharing program?
Rocky Flats	SQIG is used whenever possible. Information from non-SQIG participants, including DOE is also used to support the evaluation process.
INEEL	To determine if other DOE facilities use a specific supplier.
BNL	SQIG is mainly used for analytical contractors. We have used SQIG to identify potential vendors. Plan to use it more in future. Working on way of linking it to our procurement process so requisitioners can have ready access to SQIG database.
LANL	Very little
WIPP	
ORNL	As previously stated, we make limited use of SQIG and NIAC for high-risk, high-dollar items.
ANL	Currently, minimal involvement
PPPL	SQIG database is consulted when planning supplier audits. GIDEP info is reviewed and shared as received
Bechtel Nevada	SQIG is utilized to qualify vendors for use at the Nevada Test Site as long as the audit that was performed meets our requirements and meets the scope of the item/service needed.
SNL	Sandia is a member of SQIG and has representatives that attend SQIG meetings. However, Sandia does not submit any supplier data nor does Sandia utilize the SQIG data.

Location	Question 26
	Describe your rewards/recognition program for suppliers.
Rocky Flats	Nonexistent
INEEL	A reward system does not exist.
BNL	There is a small/disadvantaged recognition program in place.
LANL	None
WIPP	No answer provided.
ORNL	Our only discernable vendor awards systems are those funded by DOE such as recognition of small/disadvantaged business entities.
ANL	The Procurement Department nominates suppliers for federal government recognition program (including DOE and SBA programs.)
PPPL	No answer provided
Bechtel Nevada	BN has not been involved in submitting suppliers for recognition through organizations such as the Nevada Minority Purchasing Council and the Department of Energy.
SNL	Sandia has a formal rewards/recognition program for J-I-T suppliers.

Location	Question 27
	Describe any lessons learned regarding PAAA.
Rocky Flats	Emphasize to the subcontractors, the importance of providing only items and services that meet all requirements of procurement documents and receive procurement document changes in writing prior to shipping any item. Assure that evaluations include review of third party audits used and include sufficient depth to support the level of approval authorized. Conduct performance-based audits whenever possible using technical experts as often as possible, either during an audit or to support an audit or review.
INEEL	The system has assisted in identifying poor suppliers.
BNL	Not aware of any lessons learned.
LANL	---will be provided at Thursday session, particularly related to A-E design work.
WIPP	Immediate pay, share in more business, formal certification certificate.
ORNL	We have a fully functioning lessons learned system of which PAAA is a contributor.
ANL	ANL takes PAAA issues seriously and is in the process of up-grading our process based upon reviews such as this and information gleaned from other programs.
PPPL	No answer provided
Bechtel Nevada	not any at this time
SNL	It was discovered that there is a lack of communication between the quality organizations and Procurement.

Question 28

Location	Do you have written Procurement and Technical Line policies regarding PAAA?
Rocky Flats	No
INEEL	No
BNL	No policies to my knowledge. ESH 1.1.1 Price-Anderson Amendments Act Compliance Validation and Noncompliance Reporting Program (see 1 above).
LANL	Procurement = no Technical = ?
WIPP	No answer provided.
ORNL	Our current Procurement system, which is SAP based, includes provisions for both.
ANL	The Procurement Operations Manual (POM) addresses quality assurance requirements for1 procurements for nuclear facilities.
PPPL	no
Bechtel Nevada	We have written procedures for both Procurement and Performance Assurance. PAAA clauses are contained in Procurement Performa documents that become part of the subcontracts.
SNL	Corporate policies are in development. The technical line policies are the Engineering Procedures.

Question 29

Location	Do you have a COTS Procurement software package and were you able to adapt it to meet your needs?
Rocky Flats	
INEEL	Don't know what 'COTS' is. KH PQA used two databases. One is described in question 15. The other is an Access-based database that includes information resulting from the evaluations from which our Evaluated Subcontractors List is reported. Our ESL is available on our Site Intranet.
BNL	No
LANL	No
WIPP	YES --- AMS Procurement Desktop (implementation of accounts payable module & final details of procurement optimizing subject to funding decisions of senior management) AMS Receiving/QA module developed & implemented at PNL.
ORNL	No answer provided.
ANL	As stated, we use a SAP-based system. It appears to be useful in some procurement applications, but has noted deficiencies relative to procurement control and ensuring that all necessary requirements are met relative to each purchase.
PPPL	No
Bechtel Nevada	No
SNL	Sandia has adopted Oracle to meet its procurement needs.

Location	Question 30
	How do your procurement and receipt inspection processes cover suspect/counterfeit items?
Rocky Flats	Procurement has accepted a recommendation to include specific boilerplate regarding S/CI in all subcontracts. Implementation of the S/CI program in the receiving process, in my opinion, is a weak area at Rocky Flats. Receipt inspection focuses primarily on fasteners and circuit breakers. The issue of suspect fasteners has all but been eliminated through our master agreement with Nova. The handling of S/CI identified during receipt is an evolving process. Most often, if discovered, it is either dispositioned use-as is or returned to the supplier. At this time, if discovered during the receiving process, it is not reported in ORP's due to an interpretation of DOE O 232.1A that only S/CI found in 'applications' must be reported (revision to this Order has been recommended to clarify the intent). This also is under review and evolving.
INEEL	The process is addressed in MCP-540 Grade Approach & Quality Level Assignment. All potential suspect/counterfeit items are identified as Quality Level 3 with receipt and inspection.
BNL	There are clauses in the procurement addressing S/C I. Personnel have been trained to inspect for S/C I. Procurement clauses state all items to be supplied new. Organizations responsible to review procured items for S/CI. No other process in place.
LANL	No answer provided
WIPP	Warehouse & QA personnel are trained to detect suspect parts and purchase orders have wording to put the responsibility on the vendor.
ORNL	Inspectors are trained pertinent to S/C considerations (what to look for, how to identify), and possible S/C situations are identified on procurement documents. Admonitions to the vendor are contained in procurement documents relative to the unacceptability of S/C parts or items.
ANL	Standard procurement terms and conditions prohibit suspect/counterfeit parts and provide for remedies for delivery of such parts.
PPPL	Suspect parts information is disseminated and where particular concern exists, discussed with the inspector
Bechtel Nevada	Standard terms and conditions as well as program documents are used by Procurement. All personnel attend yearly training on the identification of suspect/counterfeit items. This has been a topic of major emphasis within the BN organizations over the past several years. A Company directive is written and adhered to.
SNL	Sandia does not have a procurement or receipt/inspection process in place to cover suspect/counterfeit items (S/CI). Trades personnel are trained to detect S/CIs at annual training seminars. In addition, there is a single integrated supplier for facilities personnel, and certain quality clauses regarding S/CIs have been included in the contract with this supplier.

Attachment 5

AUDITS & EVALUATIONS

DATA SHARING

SOCS

SQIG DATA SHARING

PURPOSE: RECOMMEND STANDARD DATA SET FOR SUPPLIER INFORMATION REQUEST AND INFORMATION DISTRIBUTION.

OBJECTIVE: IMPROVE CLARITY OF REQUEST AND SEND ALL THE RIGHT DATA THE FIRST TIME.

EVALUATION: ASSESSMENT PERFORMED PRIOR TO CONTRACT AWARD TO ASSURE SUPPLIER QUALITY PROGRAM MEETS PROJECT QUALITY PROGRAM REQUIREMENTS.
AUDIT: PERFORMED AFTER CONTRACT AWARD TO OBTAIN STATUS OF SUPPLIER IMPLEMENTED QUALITY PROGRAM PRESENTED FOR CONTRACT AWARD.

SQIG DATA REQUEST

(SEND BY FAX, E-MAIL, OR PROVIDE VIA TELEPHONE)

SQIG MEMBER NAME: _____
DOE LOCATION _____
MAILING ADDRESS _____
_____

PHONE NUMBER _____
FAX NUMBER _____
E MAIL ADDRESS _____

SUPPLIER NAME & _____
SUPPLIER ADDRESS _____
_____

TYPE OF ASSESSMENT: AUDIT OR EVALUATION OR BOTH

ASSESSMENT DATE (S): _____

DATA REQUEST:

- SUMMARY OF ASSESSMENT [ ]
- CHECKLIST [ ]
- LEAD AUDITOR CERTIFICATION [ ]

SQIG DATA DISTRIBUTION CHECKLIST

TO: SQIG MEMBER

- DATA REQUESTED BY NON-SQIG REPRESENTATIVE SHALL BE SENT "C/O" TO THE SQIG REPRESENTATIVE LISTED ON THE SQIG CONTACT LIST.

SEND DATA VIA: FAX *(LIMITED BY SIZE)* [ ]
MAIL [ ]

DATA DISTRIBUTION

1. COPY OF REQUEST SHEET [ ]

2. SUMMARY OF ASSESSMENT [ ]
   - AUDIT SUMMARY OR EVALUATION REPORT/LETTER
     - LATEST REPORT IF SPECIFIC DATE NOT PROVIDED IN REQUEST

3. AUDIT OR EVALUATION CHECKLIST FOR CRITERIA LISTED IN SUMMARY/REPORT [ ]
   - SIGNED BY LEAD AUDITOR
   - EVIDENCE OF DOCUMENT REVIEWS, INTERVIEWS, WORK OBSERVED, ETC.

4. COPY OF LEAD AUDITOR CERTIFICATION RECORD [ ]
   COPY OF LEAD AUDITOR MAINTENANCE PROFICIENCY RECORD (IF APPLICABLE) [ ]

Attachment 6

SQIG ORGANIZATION

Title: **QUALIFICATION AND CERTIFICATION OF ASSESSMENT PERSONNEL**

Number: **SQIG-XXX** Revision Number: **0**

Document Control Information

ATTENTION

The attached document was obtained from the SQIG Internet and may be used to perform work.

The controlled copy of this document resides on the Internet. The copy printed from the Internet is not controlled. Users of documents printed from the Internet are personally responsible for ensuring that the most current version is used to perform work. Do not retain the printed copy to perform future work without first verifying that it is the most current version. The most current version is on the Internet.

The record copy of this document is filed with the SQIG Document Control Coordinator

Responsible Organization: **SQIG Steering Committee**

Signature Approval:

SQIG Chair _____ Date _____

DRAFT

1.0 PURPOSE

1.1 The purpose of this procedure is to describe the requirements for the process of qualification and certification of personnel performing assessments.

2.0 SCOPE

2.1 The requirements of this procedure are applicable to all personnel performing supplier assessments.

3.0 RESPONSIBILITIES

3.1 The following entities have responsibilities in this procedure:

- **Certifying Officials**
- **Lead Assessors (LAs)**

4.0 PROCEDURE

4.1 GENERAL REQUIREMENTS

4.1.1 The **LA** shall identify the qualifications and experience required by technical specialists and assessors and selects them based on criteria needed to successfully conduct an assessment.

4.1.2 The **LA** shall define the scope of the assessment, identify any required reading, and provide training to the assessment team, as necessary.

4.2 ASSESSMENT TEAM MEMBERS

4.2.1 Assessment personnel, other than the LA, do not require formal training or certification. These include technical specialists and assessors. They are qualified by the LA through methods determined by the LA in a manner that meets the needs of the assessment scope.

4.3 LA QUALIFICATION AND CERTIFICATION

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4.3.1 **LA** shall:

4.3.1.1 Participate in the formal training course developed by each DOE contractors organization for LAs, and successfully complete an examination to demonstrate comprehension of the course materials with a minimum score of 75 percent, or present objective evidence of certification under a DOE-recognized Qualification and Certification Assessor Program.

4.3.1.2 Complete the SQIG Required Reading List (see Appendix A [Typical]).

4.3.1.3 Demonstrate effective communication skills, both written and oral. These skills shall be attested to and recorded by the Certifying Official.

4.3.1.4 Have verifiable objective evidence that a minimum of 10 credits have been accumulated under the scoring system identified below.

4.3.1.4.1 Education (4 Credits Maximum)

- An associate degree from an accredited institution scores 1 credit. If the credit is in engineering, physical sciences, mathematics, or QA, it scores 2 credits.
- A bachelor's degree from an accredited institution scores 2 credits. If the degree is in engineering, physical sciences, mathematics, or QA, it scores 3 credits. In addition, score one more credit for a master's degree (or higher) in engineering, physical sciences, business management, or QA from an accredited institution.

4.3.1.4.2 Workplace Experience (9 Credits Maximum)

- The prospective lead auditor shall have participated in a minimum of five QA audits or equivalent verifications (such as management assessments, pre-award surveys, or comprehensive surveillance, as long as the parameters of the audit process are met) within a period of time not to exceed three years prior to the date of qualification.

- One audit of which shall be applicable to the DOE 5700.6C/10 CFR 830.120 criteria within the year prior to qualification. In addition, for technical experience in such areas as scientific investigation, site characterization, nuclear waste management, production, transportation, engineering, manufacturing, construction, operation, maintenance, or experience applicable to the auditing organization's area of responsibility, score 1 credit for each full year, with a maximum of 5 credits for this aspect of experience.

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a. If two years of this experience have been in a nuclear field, score 1 additional credit; or
b. If two years of this experience have been in QA, score 2 additional credits; or
c. If two years of this experience have been in auditing or assessment, score 3 additional credits; or
d. If two years of this experience have been in nuclear-related QA, score 3 additional credits; or
e. If two years of this experience have been in nuclear-related QA auditing or assessment, score 4 additional credits.

4.3.1.4.3 Professional Competency (2 Credits Maximum)

For certification in engineering, science, or QA specialties, issued and approved by a state agency or national professional or technical society, score 2 credits.

4.3.1.4.4 Rights of Management (2 Credits Maximum)

When determined appropriate, the Certifying Official may grant up to 2 credits for other performance factors applicable to auditing that are not explicitly called out, such as leadership, sound judgement, maturity, analytical ability, tenacity, past performance, and completed QA training course.

4.4 DOCUMENTATION OF QUALIFICATION OR CERTIFICATION

4.4.1 Qualification of assessors by the LA.

4.4.1.1 For technical specialists and assessors, the **LA** shall document their qualifications in the assessment file.

4.4.2 Certification of LA(s) by the Certifying Official.

4.4.2.1 Document the aforementioned requirements by completing the applicable Qualification Records, the SQIG Required Reading List and, if applicable, the Annual Recertification Evaluation (see Appendices A, B, and C).

4.4.2.2 Maintain the record copy of the Qualification Records and supporting documents in the Certifying Official's organizational files.

4.5 MAINTENANCE OF CERTIFICATION FOR LA

4.5.1 **LAs** shall maintain their proficiency through one of the following: regular and active participation in the assessment process; the documented review and study of codes, standards, procedures, instructions, and other documents related to the assessment process; and participation in applicable training programs.

4.5.2 Prior to the annual evaluation due date, the **Certifying Official** shall review objective evidence of proficiency maintenance.

4.5.2.1 Based on an annual evaluation, the **Certifying Official** may recertify, require retraining, or require qualification. This evaluation shall be documented (see Appendix C).

4.6 RECERTIFICATION DRAFT

4.6.1 LAs who fail to maintain their proficiency shall require recertification at the discretion of the Certifying Official. Recertification shall include retraining in accordance with paragraph 4.3.1.1 of this procedure as applicable and successful participation as a LA in at least one assessment applicable to DOE/NV operations.

5.0 TRAINING

5.1 See Lead Assessor Training Program for each DOE contractors.

6.0 FORMS

6.1 Lead Assessor Statement of Qualification/Certification, xxxxxxxx

6.2 Record of Assessment Participation, xxxxxxxxxx

7.0 RECORDS MANAGEMENT

7.1 This procedure generates the following records:

Lead Assessor Statement of Qualification/Certification, xxxxxxxx

Record of Assessment Participation, xxxxxxxxxx

8.0 REFERENCES

8.1 U.S. DOE Order 0 414.1, "Quality Assurance."

8.2 10 CFR 830.120, "Quality Assurance."

DRAFT

9.0 DEFINITIONS

9.1 **Assessment**. The act of reviewing, inspecting, testing, checking, conducting surveillances, or otherwise determining and documenting whether items, processes, or services meet specific requirements.

9.2 **Assessor**. Any individual in the organization who performs any portion of an assessment including technical specialists, and others, such as management representatives.

9.3

9.3 **Certifying Official**. The individual in the organization responsible for certifying LAs.

9.4 **Independent Assessment**. An assessment performed by a qualified individual or team that is not affiliated with the organization directly performing the work.

9.5 **Lead Assessor (LA)**. A person certified as a LA who is responsible for organizing, directing, and coordinating the conduct of an assessment; reporting findings and observations; issuing the assessment report; and evaluating the adequacy of responses.

9.6 **Relevant Workplace Experience**. Documented workplace experience that gives the practical knowledge of a field that is necessary to effectively assess systems in that field and that has been verified as part of employment screening.

9.7 **Technical Specialist**. An individual subject matter expert (SME), and/or technical representative who is assigned to support the assessment team to evaluate the technical accuracy and appropriateness of a particular area or function.

10.0 APPENDICES

10.1 Appendix A: Assessment Personnel Reading Requirements Table [Typical].

10.2 Appendix B: Statement of Qualification and Certification.

10.3 Appendix C: Summary of Assessment Participation.

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APPENDIX A
Assessment Personnel Reading Requirements Table [Typical]

Page 1 of 1

ASSESSMENT PERSONNEL
REQUIRED READING LIST

Name: _____ Title: _____ Employee No: _____

Position _____

(circle one)	LA A	TS/SME		Initial/Date
* MANDATORY				
1.				
2.				
3.				
4.				
5.				
6.				
7.				
8.				
9.				
10.				
11.				
12.				
13.				
14.				

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* Additional required reading may be assigned by placing an X in the applicable column of page 1, and/or identifying additional documents on page 2 and placing an X in applicable column.

AALA: As assigned by the Lead Assessor

Verified by: _____ Date: _____

APPENDIX B
Statement of Qualification and Certification

RECORD OF LEAD AUDITOR QUALIFICATION	Name:	Date:	
EMPLOYER:			
QUALIFICATION POINT REQUIREMENTS			CREDITS
Education - University/Degree Date		4 Credits Max.	_____
1. Undergraduate Level 2. Graduate Level			
Experience - Company/Dates		9 Credits Max.	_____
Technical (0-5 credits) and Nuclear Industry (0-1 credit), or Quality Assurance (0-2 credits), or Auditing (0-4 credits)			
Professional Accomplishment - Certificate/Date		2 Credits Max.	_____
1. P.E. 2. Society			
Management – Justification/Evaluator/Date		2 Credits Max.	_____
Explain Evaluated by: (Name and Title) DRAFT		Date _____	
Total Credits: _____			
AUDIT COMMUNICATION SKILLS			
Evaluated by: (Name and Title) Date			_____
AUDIT TRAINING COURSES			
Course Title or Topic: 1. 2.			Date
AUDIT PARTICIPATION			

	Location	Audit	Date
	1		
	2		
	3		
	4		
	5		

EXAMINATION	PASSED	DATE:
AUDITOR QUALIFICATION CERTIFIED BY: (Signature and Title)		Date Certified

ANNUAL EVALUATION (Signature and Date)					

APPENDIX C
Summary of Assessment Participation

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RECORD OF ASSESSMENT PARTICIPATION				
NAME:				
ASSESSMENT NO.	DATE OF ASSESSMENT	ORGANIZATION ASSESSED/ SUBJECT ASSESSED	ASSESS. PRO OR ASSESS. TEAM LEAD	CERTIFYING OFFICIAL INITIAL/DATE

Verified by: _____ Date _____

Attachment 7

Department of Energy
Washington, DC 20585

MAR - 1 2000

MEMORANDUM FOR DAVID M. MICHAELS
ASSISTANT SECRETARY FOR ENVIRONMENT, SAFETY AND HEALTH

FROM: EDWARD R. SIMPSON
ACTING DIRECTOR OF PROCUREMENT AND ASSISTANCE MANAGEMENT

SUBJECT: QUALITY ASSURANCE

The Office of Environment, Safety and Health recently issued two draft directives effecting its programmatic and regulatory responsibilities under Section 830.120 of Chapter 10 of the Code of Federal Regulations concerning quality assurance requirements for contractors operating Department of Energy (DOE) nuclear facilities. The directives, DOE Order 414.1A and DOE Guide 414.1-2, respectively apply quality assurance requirements and standards to all contractors and provide a guide that assists in the implementation of these requirements. As we understand it, the purpose of the regulation and the accompanying directives is to assure supplier quality. We are pleased to see this aspect of quality assurance prominently addressed in these documents and believe that the current program could be significantly strengthened by including the Supplier Quality Information Group (SQIG) as a partner in performing consortium quality assurance reviews and collecting and disseminating supplier quality data. Accordingly, we recommend changes to both the Order and the Guide as set forth in the attachment hereto to recognize the SQIG's participation in the quality assurance process.

By way of background, the SQIG is a network of quality assurance professionals within the DOE contractor community that have joined together to develop a forum for gathering and exchanging information about goods and service suppliers being used throughout the DOE complex. The SQIG has been active since 1991 and, during that time, has established itself as a highly effective resource to those organizations availing themselves of the SQIG's services. With regard to supplier quality assurance, the SQIG has applied a consortium approach to supplier quality information by gathering it from the entire DOE contractor community, compiling it in a single database, and making it available to individual purchasing offices within DOE. This approach eliminates the need for each purchasing office to duplicate the information gathering and maintenance functions and avoid their associated costs.

Based on our experience, we believe that the recommended changes to the Order and the Guide will not only increase collaborative participation among our contractors in their shared responsibility to assure that only qualified suppliers are called upon to deliver the goods and

Attachment 8

This will Replace SQ16 Charter

414.1 QA

SQ16 Mgmt Plan

QUALITY ASSURANCE MANUAL

NO: QAM-001

EW

2000

ISSUE NO.: _____

ISSUE DATE: _____

2000

CHAIRMAN DATE

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SECTION NO.: FOUR - APPENDICES

1.0 Quality Assurance Procedure Listing

1.0 FORWARD

1.1 SQIG has developed a forum for sharing supplier evaluation data and exchanging information and ideas that promote excellence in all aspects of supplier quality activities.

1.2 The Quality Assurance Manual describes the Quality System implemented at SQIG.

1.3 The objective of the Quality System is to prevent non-conformances throughout performance of SQIG activities and provide for the prompt detection of non-conformances which may result in unsatisfactory quality, as well as for the provision of timely and effective Corrective Action.

1.4 This Quality System, designed and developed in conjunction with Managerial functions, establishes an effective and economical system for assuring product quality.

1.5 It is SQIG's Policy to provide full compliance with this Quality System throughout all phases of SQIG activities and to ensure that only acceptable products are presented to the Customer.

2.0 APPOINTMENT OF THE QUALITY MANAGER

2.1 To ensure implementation and full compliance with the Quality System, SQIG has appointed a Quality Manager.

2.2 The Quality Manager reports to the Chairman and is responsible for the management of the Quality System.

2.3 SQIG has appointed _____ as the Quality Manager.

3.0 AMENDMENT PROCEDURE

3.1 The Quality Assurance Manual (QAM) shall be amended to reflect any changes to SQIG's capability or Quality System.

3.2 The Quality Manager shall submit the QAM amendments, (affected pages), to the membership accompanied by a completed QAM Amendment Certification Page.

3.3 QAM amendments require acknowledgement or acceptance whereby the members will sign the QAM Amendment Certification Page and return it to the Quality Manager.

3.4 When a single QAM amendment affects fifty percent, (50%), or more of the Manual content, or when a maximum of ten, (10), amendments are exceeded, the QAM shall be re-issued.

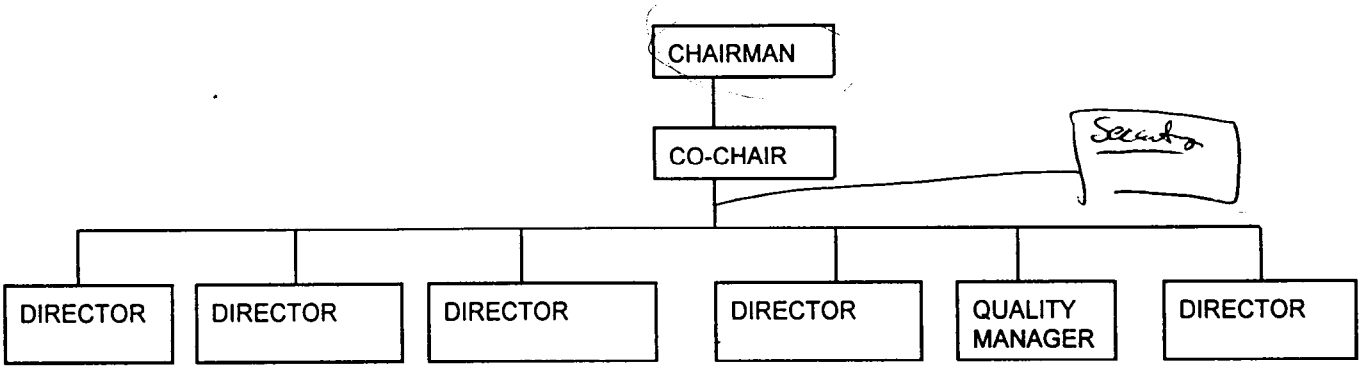
3.5 The Quality Manager is responsible for the maintenance of the QAM as described in this section and for reviewing the QAM annually.

3.6 Accepted amendments to the QAM are recorded on the QAM Amendment Log, (Sub-Section 7.0).

4.0 AMENDMENT LOG

AMENDMENT NO.	AMENDMENT PAGES	DESCRIPTION & PAGES AFFECTED	DATE

1.0 SQIG ORGANIZATION STRUCTURE



2.0 ORGANIZATION & AUTHORITY POLICY

2.1 Quality is the responsibility of all SQIG Members.

2.2 All personnel shall be accountable for the quality of their individual assignments and functional responsibilities.

2.3 Members shall be responsible for reporting any non-conformance to the Quality Manager.

2.4 The Quality Manager shall maintain the organizational freedom and authority for:

(a) Full implementation of the Quality System.

(b) Identifying and recording Quality problems.

(c) Initiating, recommending or providing solutions through designated channels.

(d) Verifying implementation of solutions.

(e) Controlling further processing, delivery or installation of non-conforming items, until the condition has been corrected.

2.5 The Quality Manager shall address all problems which cannot be resolved with other members of SQIG Management, to the Chairman and Committee for resolution.

2.6 The Chairman is responsible for the review of the Quality System and for the verification of resources including trained personnel.

2.7 Management reviews and verifications are conducted annually as a minimum.

SECTION NO.: THREE

QUALITY SYSTEM ELEMENTS

1.0 MANAGEMENT RESPONSIBILITY

2.0 QUALITY SYSTEM

3.0 DOCUMENT & DATA CONTROL

4.0 PURCHASING

5.0 PROCESS CONTROL

6.0 CONTROL OF QUALITY RECORDS

7.0 INTERNAL QUALITY AUDITS

8.0 TRAINING

9.0 CORRECTIVE & PREVENTIVE ACTION

1.0 MANAGEMENT RESPONSIBILITY

1.1 Purpose:

1.1.1 To describe managements role in the Quality Assurance System.

1.2 Reference:

1.2.1 QAP No.: 01 Management Responsibility.

1.3 Description:

1.3.1 The management of SQIG have stated and documented their commitment to quality and the support of the Quality Assurance System.

1.3.2 Management policy and objectives will be communicated throughout the membership.

1.3.3 A Quality Manager has been appointed by management. The Quality Assurance Manager, who reports directly to the Chairman maintains the organizational freedom and authority to effectively manage the Quality Assurance System.

1.3.4 Management have and continually review in-house verification requirements, whereby at all times assuring the necessary resources are available including the training and qualification of personnel assigned for verification activities.

1.3.5 Although all personnel are responsible for quality as related to their individual work assignments, management has appointed the Quality Manager to carry out verification activities independently of having direct responsibility for the work being performed, as required.

1.3.6 SQIG management reviews the effectiveness of the Quality Assurance System on a regular basis, and records are maintained appropriately.

2.0 QUALITY SYSTEM

2.1 Purpose:

2.1.1 To describe the Quality System documentation in place at SQIG.

2.2 Reference:

2.2.1 Q.A.P. No.: 02 - Quality Documentation.

2.3 Description:

2.3.1 SQIG has established and documented a Quality Assurance System.

2.3.2 The Quality Assurance System is administrated through written policy, procedures and instructions.

2.3.3 The Quality Assurance Manual (QAM) provides quality assurance policy.

2.3.4 The Quality Assurance Procedures provide the methods of compliance to the system elements.

2.3.5 Where deemed necessary operational procedures are developed for functional activities that have an effect on product/service quality.

2.3.6 Quality Records are generated through the implementation of the Quality Assurance System, to provide objective evidence of compliance and to measure the effectiveness of the system.

2.3.8 The Quality Assurance System is managed by the Quality Manager to provide objective evidence of compliance and to measure the effectiveness of the system.

2.3.9 The Quality Assurance System provides an effective and economic system for assuring product/service quality in all phases of the operation and to provide continual improvement.

3.0 DOCUMENT & DATA CONTROL

3.1 Purpose:

3.1.1 To describe the procedures in place for the control and maintenance of documentation.

3.2 Reference:

3.2.1 Q.A.P. No.: 03 - Document & Data Control.

3.3 Description:

3.3.1 Procedures are established to control and maintain the issue, distribution and changes of all documentation classified as being essential to the accomplishment of work, such as , plans/instructions and procedures.

3.3.2 The system includes the control of documentation to and from customers.

3.3.3 The procedures assure that the implementation point of changes are recorded, processed, re-issued and that obsolete documentation is taken out of the system.

3.3.5 Document changes are subjected to review and approval by the appropriate personnel.

4.0 PURCHASING

4.1 Purpose:

4.1.1 To describe the procedures implemented for assuring purchased products/services conform to specified requirements.

4.2 Reference:

4.2.1 Q.A.P. No.: 04 - Purchasing.

4.3 Description:

4.3.1 Procedures are implemented for the selection of suppliers/sub-contractors and the extent of control to be exercised.

4.3.2 Sub-contractors and suppliers are initially qualified and reviewed thereafter at intervals consistent with the nature of the product/service and the sources demonstrated performance.

4.3.3 The procedures provide for the internal assessment of the effectiveness of controls placed on sub-contractors.

4.3.4 The purchasing system establishes controls for the preparation and verification of complete and clear descriptions of the material/services to be ordered, utilizing a Purchase Order document.

4.3.5 The Purchase Order document details the Quality Assurance/Inspection requirements for an order, which may include inspection at source.

4.3.6 The customer and/or customer representative shall reserve the right to verify at source or after receipt, that the controls exercised and that the material/service provided conform to the specified requirements.

4.3.7 Customer verification shall not relieve SQIG of the responsibility to provide conforming material/services, nor shall it preclude subsequent rejection.

4.3.8 Customer verification performed at the sub-contractors/suppliers facilities shall not relieve SQIG from exercising specified controls.

5.0 PROCESS CONTROL

5.1 Purpose:

5.1.1 To describe the procedures implemented for planning and controlling SQIG activities.

5.2 Reference:

5.2.1 Q.A.P. No.: 09 - Process Control.

5.3 Description:

5.3.1 Procedures are implemented to assure SQIG activities are planned and performed under controlled conditions.

5.3.2 Process methods shall be changed/modified whenever their unsuitability is demonstrated.

6.0 CONTROL OF QUALITY RECORDS

6.1 Purpose:

6.1.1 To describe the procedures in place for control and maintenance of Quality Records.

6.2 Reference:

6.2.1 Q.A.P. No.: 7 - Control of Quality Records.

6.3 Description:

6.3.1 Records, reports and charts are generated and maintained to demonstrate compliance and the effective operation of the Quality System.

6.3.3 Records, reports and charts shall be maintained and stored and are available for Customer review and analysis.

6.3.4 Records, reports and charts shall be analysed and used in the managing of the Quality System and for investigating improvements to be made to the System.

6.3.5 Quality Records are maintained in suitable storage containers for a time specified by a contract or as a minimum of three years.

7.0 INTERNAL QUALITY AUDITS

7.1 Purpose:

7.1.1 To describe the procedures implemented for the auditing of the SQIG Quality System.

7.2 Reference:

7.2.1 Q.A.P. NO.: 8 - Internal Quality Audits.

7.3 Description:

7.3.1 An internal auditing system is established to verify the effectiveness and compliance of each element of the SQIG Quality System.

7.3.2 Audits are performed to checklists by qualified personnel. The audit personnel are allowed to function independently and shall be unencumbered by departmental pressures.

7.3.3 Procedures are provided to plan all of the areas of the Quality System to be audited, along with the required specification complicacies.

7.3.4 The auditing system provides for specific or additional audits for the following conditions:

(a) When there has been a significant change in the capabilities of SQIG.

(b) When there has been a change in the Quality System.

(c) When it is necessary to verify the implementation and effectiveness of required Corrective Actions.

(d) As required by SQIG Management.

7.3.5 The auditing system provides for management review and analysis of internal deficiencies, trends and for the implementation of Corrective Action.

7.3.6 Follow-up action is provided to verify internal Quality System compliance through the resolution of any observed deficiencies. Complete documentation of these actions is maintained and made available for Customer review.

8.0 TRAINING

8.1 Purpose:

8.1.1 To describe procedures established for personnel training requirements.

8.2 References:

8.2.1 Q.A.P. No.: 8 - Training.

8.3 Description:

8.3.1 A system is established for the training of personnel and skills acquisition. The system also identifies training needs.

8.3.2 Training programs shall be applicable to in-house function qualification and for new skill acquisitions.

8.3.3 Quality Assurance shall provide training and up-date training of Quality Assurance.

8.3.4 Records shall be maintained on all training activities.

9.0 CORRECTIVE AND PREVENTIVE ACTION

9.1 Purpose:

9.1.1 To describe the procedures in place for Corrective Action activities for SQIG.

9.2 Refefence:

9.2.1 Q.A.P. No.: 9 - Corrective and Preventive Action.

9.3 Description:

9.3.1 Procedures are established to assure that conditions adverse to quality are promptly detected, identified and corrected.

9.3.2 A Corrective Action Program is in place to assure that action is taken to preclude non-conformance repetition and that a full report as to non-conformance cause shall be made available.

9.3.3 A continuing analysis is established to determine the cause and corrective action needed.

9.3.5 Any conditions and deficiencies adverse to quality as presented by the customer are subjected to corrective action in a timely manner.

9.3.6 Corrective Actions shall be reviewed and monitored for accomplishment of their intended purpose, both internally and at sub-contractor/supplier locations.

9.3.7 Corrective Action records and data are maintained.

1.0 QUALITY ASSURANCE PROCEDURE LISTING

NUMBER	PROCEDURE
QAP No.: 01	Management Responsibility
QAP No.: 02	Quality Documentation
QAP No.: 03	Document & Data Control
QAP No.: 04	Purchasing
QAP No.: 05	Process Control
QAP No.: 06	Control of Quality Records
QAP No.: 07	Internal Quality Audits
QAP No.: 08	Training
QAP No.: 09	Corrective and Preventive Action