

TEMPORARY CHANGE REQUEST

TCR NO. **TCR-QA-003, R4-001**

(e.g., TCR-ENG-021,R0-001)

The Temporary Change Request (TCR) Form is to be used to process urgent or minor changes for PPPL Policies, Organization/Mission Statements and Procedures. The TCR should be used when changes are:
1) urgent, and can not wait the 2-4 week period for Department Head review/comment, or
2) minor, and do not warrant Department Head review.

Person Requesting Change: Adolfo Amaya

Phone Ext: 2305

Department Name: Quality Assurance

Document Number: QA-003

Revision No.: 4

Document Title: Procurement Quality Assurance

Reason for change:

Updates to the References and Procurement Quality Assurance sections to link with S/CI program existing procedures. Minor edits sections C, D and attachments for clarify.

Change description: (Summarize and attach changed pages, with changes clearly indicated)

1. Add: References Documents section, page 1: QA-020 Suspect & Counterfeit Items Control and Dispositioning
2. Add: Procurement Quality Assurance section, page 3: , including procurement restrictions for Suspect/Counterfeit-susceptible Items.
3. Step c.1: minor rewording.
4. Replaced Material Control with Material Services where found.
5. Training: removed (Section Required For All Procedures).
6. Removed attachment 2, DOE Headmark List, found in QA-020.

1. Does this TCR significantly alter the intent or scope of the document? YES: NO: **X**

2. Does this TCR significantly impact **ES&H**? YES: NO: **X**

If 1 or 2 is **YES**, Explain why the changes should not be routed for Department Head review:

James B. Graham
Department/Division Head Approval

3/8/16
Date

John DeLooper
Head, Best Practices and Outreach/designee

3/8/16
Date

Release/Effective date of this TCR: 3/9/16

Incorporate this TCR into next revision of this document? YES: **X** NO:

Subject: Procurement Quality Assurance	Effective Date: August 26, 2014	Initiated by: Head, Quality Assurance
	Supersedes: Rev. 3 dated 7/24/07	Approved: Director

TCR-QA-003, R4-001

Management System (Primary): 12.00 Assurance and Improvement
Management System Owner: Head, Best Practices and Outreach
Management Process: 12.31 Quality Assurance of quality management systems
Process Owner: Head, Quality Assurance
Sub-Process: 12.31.06 Procurement QA
Process Owner: Head, Quality Assurance
Subject Matter Expert Head, Quality Assurance; Procurement Quality Assurance Engineers

Introduction

This procedure establishes the practices to assure that pertinent quality requirements are incorporated into solicitation and contractual documents, that appropriate surveillance is maintained to assure supplier compliance, that there is appropriate verification of delivered items, and that adequate records are maintained. This procedure applies to work performed at PPPL (for PPPL projects as well as for projects destined for other facilities).

This procedure describes the steps to be taken to assure the quality of procured items. Such assurance is achieved by maintaining a close working relationship among the three individuals with direct responsibility for the procurement, the Technical Representative (usually the Requisitioner, the Cognizant Individual, or the Princeton Technical Representative (PTR), as applicable), the Procurement representative, and the Quality Assurance representative. Therefore, it is important that the flow of information to and from these three individuals be maintained at all times, advising of changes to the procurement; document or drawing revisions; progress of the procurement; problems associated with the procurement; and recommendations for action.

Reference Documents

P-072 Procurement Assurance
 QA-005 Control of Nonconformances
 QA-020 Suspect & Counterfeit Items Control and Dispositioning **TCR-QA-003, R4-001**
 GEN-023 Records Management

Procedure Organization

Section A–Determining Requirements
 Section B–Pre-Award Activities
 Section C–Post-Award Oversight
 Section D–Receipt of Items
 Section E–Records

ProcedureA. Determining Requirements

Technical Representative

1. Determines, for each procurement action, if there is a need for Quality Assurance (QA) oversight. Need is typically determined based on: the importance of the item; relative cost; previous experience with similar items; and schedule risk. Indicates determination by selecting Quality Assurance on the requisition Reviews page.

QA is typically involved in: custom fabrications; purchases that are described in Statements of Work (SOW) or Specification; purchases where certification, inspection, test results, or supplier qualification are indicated; and purchases with a significant ES&H impact.

2. Contacts Procurement Quality Assurance (PQA) pqa@pppl.gov to establish quality requirements, if a need for QA oversight has been identified. These requirements may be included in a SOW or specification; directly on the requisition form; or as an attachment to the requisition.
3. Provides PQA with drawings and other pertinent information needed to provide a clear understanding of the procurement.

Procurement

4. Assures PQA has access to all requisitions.

NOTE: The remaining steps assume that QA is involved in the procurement.

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| Procurement Quality Assurance | <p>5. Reviews requisitions marked for Quality Assurance review. and performs the following steps as appropriate based on the importance of the procured item in regards to safety, relative cost, previous supplier performance, and schedule risk:</p> <ol style="list-style-type: none"> a. Contacts the Technical Representative to understand the essential characteristics of the procurement. b. Works with the Technical Representative to consider and establish the following when required: <ul style="list-style-type: none"> • Appropriate QA requirements, including procurement restrictions for Suspect/Counterfeit-susceptible Items. TCR-QA-003, R4-001 • Mandatory PPPL witness, inspection or hold points.
Additional supplier monitoring beyond standard PPPL oversight. These may include pre-award surveillances of the supplier’s facilities; supplier visits during fabrication; use of an inspector at the supplier's site. |
| Technical Representative | <p>6. Plans receipt inspection activities with PQA to determine characteristics to inspect, tests to be performed, and number of items to be inspected. The communication is informal, but it is preferred that it be captured in an email to PQA@pppl.gov.</p> |
| Procurement Quality Assurance | <p>7. Prepares, as needed, Quality Assurance Requirements and attaches this document to the requisition.</p> |
| Procurement | <p>8. Includes Quality Assurance Requirements attachment as part of the procurement package.</p> <p>9. Flags the PQA Business Code on each subcontract or purchase order that contains Quality Requirements to assure distribution to PQA.</p> |

B. Pre-Award Activities

Procurement Representative

1. Reviews proposal submittals with Technical Representative and, where there are quality concerns, PQA, to determine acceptability. Forwards Quality Manuals, procedures, certifications, or other prerequisite quality documents to QA for review.
2. When a site visit has been deemed appropriate, arranges or authorizes the Technical Representative or PQA to arrange a visit to evaluate technical capability and/or quality controls.

C. Post-Award Oversight—*Note that the Technical representative is responsible for the quality of his or her procurement and may choose to perform any or all of the activities listed below as done by Quality Assurance.*

Procurement Quality Assurance

1. Establishes, as needed, contact with the supplier's Quality Assurance Representative after the procurement package is awarded to assure awareness and participation before work is begun. This action is most important for new suppliers or complex procurements. This step may not be needed for routine procurements to a known, satisfactory supplier. **TCR-QA-003, R4-001**
2. Implements supplier surveillance activities during contract performance to assure conformance to the procurement requirements.
3. Maintains communications with the Technical Representative and Procurement Representative to assure awareness of progress, problems, and observations.
4. Secures Technical Representative's and Procurement's support in scheduling supplier visits or quality audits and requiring supplier corrective actions.

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| Procurement Quality Assurance | <ol style="list-style-type: none"> 5. Works with the supplier for timely resolution of any discrepancies or nonconformances.
 6. Provides results of each supplier visit to Technical Representative and Procurement Representative.
 7. Authorizes shipment, when Release for Shipment is specified in the QA requirements, by approving the PPPL Shipping Release form, Attachment 2. |
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D. Receipt of Items

Materiel Services
TCR-QA-003, R4-001

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| 1. | <p>Notes items with Receipt Inspection indicated and notifies, by email, the Requisitioner of his/her responsibility to have receipt inspection done.</p> |
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Materiel Services does not release items with Receipt Inspection indicated until the Requisitioner documents acceptance as specified below. For all other items, the Requisitioner is responsible for determining acceptability of the item received, but step 5, below, does not apply.

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Technical Representative

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| 2. | <p>Determines acceptability of delivered items by inspection. Inspection will vary widely with the nature of the received item and the intended application. Inspection may include 100% of the items received or a sample of sufficient size to assure the Requisitioner that the received items are likely all acceptable. Refer to Appendix 1 for minimum inspection and sampling guidelines.</p> |
| 3. | <p>For those item(s) where Receipt Inspection is indicated on the Purchase Order, responds to the Receipt Inspection notification email indicating either that the items have been inspected and accepted or that, due to size or special inspection requirements, they will be inspected within 10 working days.</p> |

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| Technical Representative | 4. | If it is determined that a supplied item is unacceptable due to nonconforming conditions, contacts PQA to have a Nonconformance Report (NCR) issued to document the discrepancies. For problems that involve mistakes, such as the wrong item shipped, notifies Procurement. |
| Materiel Services
TCR-QA-003, R4-001 | 5. | On receipt of the email indicating acceptance or the inspection commitment, releases item(s) to Requisitioner. |
| Quality Assurance | 6. | Distributes any NCR's to Accounting so that payment is held until the NCR is resolved and to the Procurement Representative who can, as appropriate, work with the supplier to resolve the discrepant issues. |
| | 7. | Distributes closed NCR's to the Procurement and Technical Representatives and Accounting after satisfactory resolution in accordance with Procedure QA-005. This provides Accounting with notice that payment should no longer be held due to quality concerns. |

Technical Representative

8. Delivers the following records, when they are specified as part of a procurement action, to the Operations Center (or other Project, Division, or Department designated File Center).
 - Statement of Work/Specification
 - Manufacturing/Inspection/Test (MIT) Plan
 - Quality Assurance Plan, if separate from the MIT Plan
 - Reliability and Maintainability Documents
 - Workmanship Standards
 - Completed Release for Shipment Form
 - Process History, which may include Certificates of Compliance, Material Certifications, Planning & Control Documents, Inspection Reports, Test Reports, Supplier NCRs, and Personnel Qualifications and Certifications
 - Correspondence to the Suppliers that change the requirements
 - All supplier-provided as-built drawings are to be delivered to Drafting by the Technical Representative. *This procedure does not address the retention period for these drawings*

Procurement Quality Assurance Representative

9. Delivers PPPL generated Nonconformance Reports, if any the following records to the Operations Center.
 - PPPL generated Nonconformance Reports, if any
 - Quality Assurance Plan, if required from Supplier (will be sent to Project/Div/Dept Record Center if one is designated)
10. Retains Quality Assurance Program Manuals, when required for a procurement action, in Quality Assurance files.

Training

Head of QA /
Designee

1. Ensure the following training methods and means are implemented.
 - A. Target Audience: COGs/RLMs (per ENG-032)
Training Method: Read-only training will be part of the COG/RLM training.
 - B. Target Audience: PTRs (Procurement Technical Representatives)
Training Method: Read-only training will be part of the PTR training.
2. Notifies the Human Resources Training Office of the training so that they will be aware of the training requirements and be able to provide assistance and guidance in the course development, implementation, tracking, and maintenance.

Records Requirements Specific To This Procedure

Procurement will retain the requisition and purchase order file or subcontract file for mandated periods for each particular record type. Where GEN-023 specifies longer retention periods, those requirements shall take precedence. The Princeton Technical Representative may, on delivery of records to the record storage location, specify longer retention periods.

Records Custodians must assure records are maintained as follows:

Record Title	Record Custodian	Location	Retention Time
PPPL Shipping Release	Operations Center (or Designated Project/Depart. or Division Custodian)	Operations Center (or Designated Project/Depart. or Division Location)	Lifetime of Project with SOW Reference: A17 Cartographic, Aerial Photographic, Architectural, Engineering and Facility Management Records (31.a)
Non-Conformance Report	Operations Center	Operations Center	Destroy when 10 years after date of issue Reference A17 Cartographic, Aerial Photographic, Architectural, Engineering and Facility Management Records (17.c)
Vendor Quality Assurance Program Manuals	Quality Assurance	Quality Assurance Files	Destroy when 1 year old. Reference: A17 Cartographic, Aerial Photographic, Architectural, Engineering and Facility Management Records (17.c)
Vendor Quality Assurance Plan, if separate from the MIT Plan	Operations Center	Operations Center	Destroy when 1 year old. Reference: A17 Cartographic, Aerial Photographic, Architectural, Engineering and Facility Management Records (17.c)

The following records mentioned in this procedure have records requirements specified in procedure ENG-006 and are the responsibility of the Technical Representative/COG or Procurement:

- Statement of Work/Specification
- Manufacturing/Inspection/Test (MIT) Plan
- Quality Assurance Plan, if separate from the MIT Plan
- Reliability and Maintainability Documents
- Workmanship Standards
- Completed Release for Shipment Form
- Process History, which may include Certificates of Compliance, Material Certifications, Planning & Control Documents, Inspection Reports, Test Reports, Supplier NCRs, and Personnel Qualifications and Certifications
- Correspondence to the Suppliers that change the requirements

Appendix

1 Inspection and Sampling Guidelines

Attachments

- 1 PPPL Shipping Release
- 2 Procedure Flow **TCR-QA-003, R4-001**

Minimum Items to Include During Receipt Inspection

- Conformance to the procurement documents (PO/Subcontract, SOW, Specification, and/or drawings)
- Markings or labeling
- Certifications and other documents are acceptable and appear to tie to the delivered items
- Items appear to be new, except where refurbished or used items have been explicitly permitted in the procurement documents
- High strength (≥ 100 ksi tensile strength) fasteners bear the manufacturer's headmark, have material certifications traceable to the fasteners, and none of the fasteners bear headmarks listed on the DOE Headmark List (Attachment 2) as defective without further testing
- Calibrated items are identified as calibrated and have corresponding certifications of calibration

Sampling Table (based on MIL-STD-105)

Lot Size	Sample Size
1-8	Entire Lot
9-50	8
51-200	32
201-500	50
501-1000	80

PRODUCT QUALITY CERTIFICATION & SHIPPING RELEASE

To be completed by supplier and submitted to PPPL with the Documentation package. Shipment (full or partial) is not authorized until PPPL returns this form signed.

Completed by Supplier	PPPL SUBCONTRACT/ ORDER #	ITEM #(s)	QUANTITY SHIPPED
	ITEM DESCRIPTION	SUPPLIER REFERENCE #	SHIPMENT #
	SUPPLIER'S CERTIFICATION		

This is to certify that the products and services identified herein have been produced under a controlled quality assurance program and are in conformance with the procurement requirements including applicable codes, standards and specifications as identified in the above-referenced documents unless noted below. Any supporting documentation will be retained in accordance with the procurement requirements.

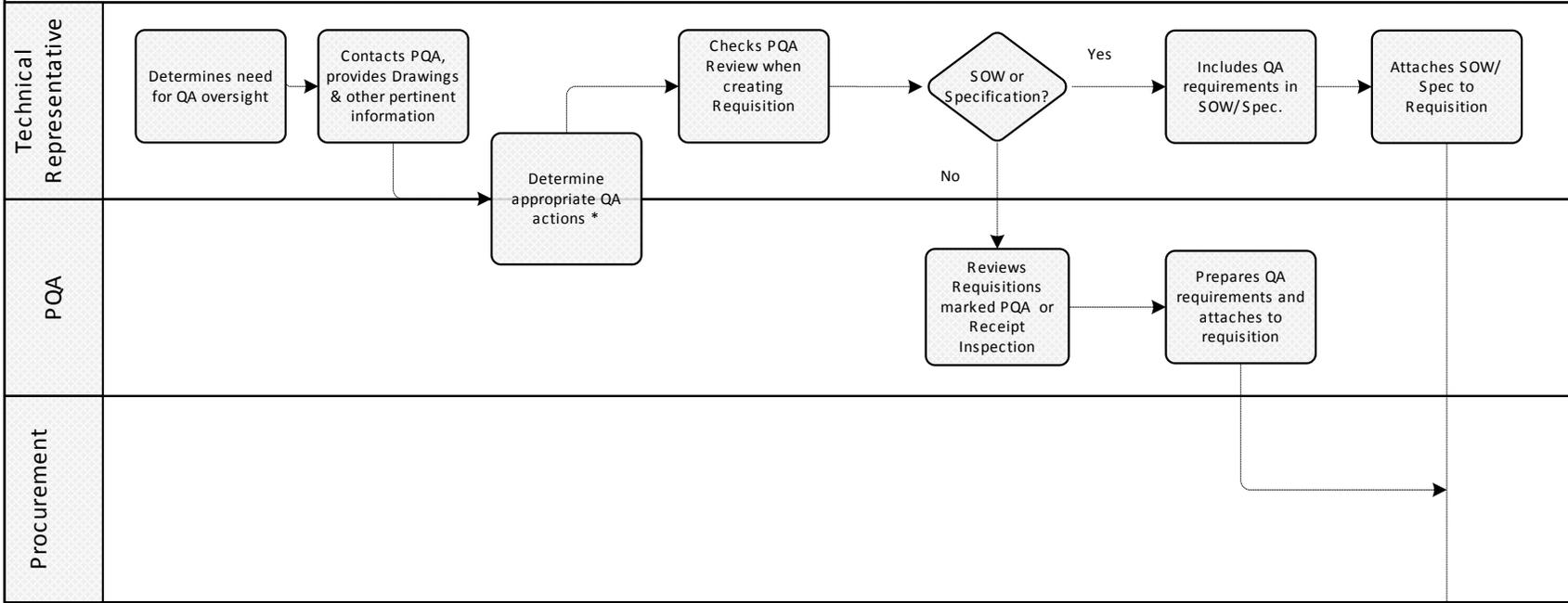
SIGNED: _____ DATE: _____

TITLE: _____ COMPANY: _____

Completed, signed, and returned by PPPL before shipment	PPPL (AUTHORIZED REPRESENTATIVE) SHIPPING RELEASE	
	<p>This is to certify that evidence supporting the above Supplier's Certification statement has been reviewed and no product/service nonconformances from procurement requirements have been identified unless noted below. This product/service is hereby released for shipment.</p> <p>This section serves as the Quality Assurance release for the above described product for shipment. It does not constitute an acceptance thereof and does not relieve the Supplier, Manufacturer or Contractor of any and all responsibility or obligation imposed by the purchase contract. It does not waive any rights the Purchaser may have under the purchase contract, including the Purchaser's right to reject the above described material upon discovery of any deviations from requirements of the purchase contract, drawings and specifications.</p>	
	NONCONFORMANCES FROM PROCUREMENT QUALITY REQUIREMENTS:	
	REMARKS/PRODUCT SERIAL NUMBERS:	

BY PPPL QA REPRESENTATIVE (OR DESIGNEE)	DATE
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Determining Requirements



* If a site visit is determined appropriate, it may be pre- or post- award and may involve any combination of Technical Representative, PQA, and Procurement.

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