



Environmental Management Office of Standards and Quality Assurance

Quality Procedure

Subject Area: *Approved Suppliers List*

QP-7.2, Revision 0

Effective Date: 8/31/2015

Preparer:

A handwritten signature in black ink, appearing to read "Robert A. Toro", is written over a horizontal line.

Robert A. Toro
Office of Standards and Quality Assurance

8/28/2015

Date

Approved:

A handwritten signature in black ink, appearing to read "Robert D. Murray", is written over a horizontal line.

Robert D. Murray
Director
Office of Standards and Quality Assurance

8/31/2015

Date

1. PURPOSE

This procedure establishes the responsibilities, process, and records for developing and maintaining the Approved Suppliers List (ASL) for EM Headquarters Office of Standards and Quality Assurance in accordance with EM-QA-001, *Environmental Management Quality Assurance Program*.

2. SCOPE

The scope of this procedure is to guide the development and maintenance of the EM Headquarters Office of Standards and Quality Assurance Approved Suppliers List.

3. APPLICABILITY

This procedure applies to the EM Headquarters Office of Standards and Quality Assurance personnel and its contractors participating in activities associated with developing and maintaining the EM Office of Standards and Quality Assurance Approved Suppliers List. The ASL lists EM suppliers which have been evaluated by the EM Headquarters Office of Standards and Quality Assurance for items and services procured, and performed at the request of the Offices at EM Headquarters including EM Field Office facilities, programs, or projects. The suppliers on the ASL are determined to have established a quality program capable of providing acceptable items and services.

4. REQUIREMENTS & REFERENCES

The most current version of the following documents is applicable to this procedure:

Requirements:

- 4.1 EM-QA-001, *EM Quality Assurance Program*
- 4.2 ASME NQA-1-2008/2009a, *Quality Assurance Requirements for Nuclear Facility Applications*
- 4.3 DOE Order O 414.1D, *Quality Assurance*

References:

- 4.4 QP-4.3, *Records Management*
- 4.5 QP-7.1, *Supplier Qualification*
- 4.6 SSQ-3.1, *Corrective Action*
- 4.7 QP-10.1, *Audits*
- 4.8 QP-10.2, *Independent Assessments*

5. DEFINITIONS

- 5.1. Approved Suppliers List (ASL) – A listing of suppliers which have been evaluated by the EM Headquarters Office of Standards and Quality Assurance using the process described in QP-7.1, *Supplier Qualification*, and found to have established a quality program capable of providing acceptable items and services under the conditions and requirements of DOE Order 414.1D, the EM Quality Assurance Program (EM-QA-001), and NQA-1 2008/2009.
- 5.2. Requesting Entity - The organizational unit within DOE EM including Headquarters, Field Offices facilities, programs, or projects requesting supplier qualification or requalification support.
- 5.3. Supplier – Any individual or organization that furnishes items or services in accordance with procurement documents. An all-inclusive term used in place of any of the following: vendor, seller, contractor, subcontractor, fabricator, consultant, and their sub-tier levels.
- 5.4. Supplier Qualification – The process of performing an evaluation of the supplier's capability to provide items or services in accordance with the requirements of the procurement document prior to its issuance for inclusion of the supplier on the ASL.
- 5.5. Supplier Requalification – The process of performing an evaluation of the supplier's continued capability items or services in accordance with the requirements of established contractual documents to establish that the supplier remains on the ASL. This process is normally performed on a triennial basis.

6. RESPONSIBILITIES

6.1. Deputy Assistant Secretary (DAS) for Safety, Security and Quality Programs

- 6.1.1 Direct the Office of Standards and Quality Assurance to implement this procedure in accordance with the Oversight Policy.

6.2. Director, Office of Standards and Quality Assurance

- 6.2.1. Responsible for notifying management of requesting entities of upcoming supplier requalification deadlines.
- 6.2.2. Responsible for the preparation, revision, and approval of this procedure.
- 6.2.3. Ensures that the processes described in this procedure are satisfactorily implemented by EM Headquarters Office of Standards and Quality Assurance.
- 6.2.4. Assigns an Office staff member as the Approved Suppliers List designee.

6.3. Requesting Entity

- 6.3.1 Informs the Director, Office of Standards and Quality Assurance and submits request to qualify a prospective supplier who will furnish items or services to an EM Headquarters Office, or an EM Headquarters Office working in conjunction with an EM Field Office facility or project.
- 6.3.2 Provides information to and coordinates with the Director, Office of Standards and Quality Assurance and the Office of Standards and Quality Assurance Approved Suppliers List designee of any supplier-related updates, including evaluation criteria and instructions for qualifying a prospective supplier.

6.4. Audit or Assessment Team Lead

- 6.4.1. Coordinates with the Office of Standards and Quality Assurance Director and the requesting entity by notifying the Office of Standards and Quality Assurance ASL designee when a supplier can be added to the ASL either as an approved or conditional supplier.
- 6.4.2. Coordinates with the Office of Standards and Quality Assurance Director and the requesting entity by notifying the Office of Standards and Quality Assurance ASL designee when a supplier has been requalified through the triennial requalification audit.
- 6.4.3. Coordinates with the Office of Standards and Quality Assurance Director and the requesting entity by notifying the Office of Standards and Quality Assurance ASL designee when a supplier is no longer qualified and removed from the ASL.

6.5. Office of Standards and Quality Assurance Approved Supplier List Designee

- 6.5.1. Maintains the ASL based upon input from Audit or Assessment Team Leads responsible for performing supplier qualification and requalification activities on behalf of requesting entities.

Note: The latest ASL is available in the EM Headquarters LiveLink (Content Server) website.

- 6.5.2. Prepares supplier status reports for the Director, Office of Standards and Quality Assurance.
- 6.5.3. Initiates an issue for inclusion into the Issues Management System if extensions to Expired status are granted because the required requalification activity was not performed. Request for extensions are discussed in detail in Section 8.3.5 of this procedure. Issues are discussed in the Safety, Security, and Quality Programs (SSQ) Procedure SSQ-3.1, *Corrective Action*. A description on the status of each supplier is described in defined in Form QP-7.2-1.

7. GENERAL INFORMATION

Preparation and maintenance of the ASL are achieved by following the instructions contained within this procedure.

8. PREPARATION AND MAINTENANCE OF THE APPROVED SUPPLIERS LIST

8.1. Approved Supplier List Format and Content

- 8.1.1 The format and content for the ASL, including instructions for maintaining the ASL are shown as Form QP-7.2-1.

8.2 Adding a Supplier to the Approved Suppliers List

- 8.2.1 Prospective suppliers identified by the requesting entity are evaluated for inclusion onto the ASL in accordance with QP-7.1, *Supplier Qualification*.

- 8.2.2 The Audit or Assessment Team Lead notifies the ASL designee of prospective suppliers to be added to the list and if the initial qualification is Approved or Conditional as defined in the Instructions section of Form QP-7.2-1. The Audit or Assessment Team Lead provides the following information:

- Supplier and Contact Information
- Requesting Entity and Contact Information
- Date of Qualification - Date of Qualification is the date the supplier's status is determined to be Approved. If a supplier is listed as Conditional, then the required corrective actions must be completed and verified prior to the supplier status being listed as Approved.

- 8.2.3 When the supplier is placed on the ASL and its status is Approved, the ASL designee adds the requalification date which is normally performed triennially or as needed to meet project needs (i.e., significant changes are made in a supplier's quality program or change in the supplier's scope of work). The triennial requalification date is 3 years from the qualification date. A requalification assessment or audit can be performed prior to the triennial requalification date at the discretion of the Director, Office of Standards and Quality Assurance, as a result of supplier performance deemed to be less than satisfactory or as a follow-up to issue(s) previously identified. A triennial requalification assessment or audit is conducted as a regularly scheduled activity to evaluate effectiveness of program implementation.

Note: The process for supplier qualification and requalification is described in procedure QP-7.1, *Supplier Qualification*.

8.3 Updating Supplier Information on the Approved Suppliers List

- 8.3.1 The ASL designee updates the supplier information in the ASL (Form 7.2.-1) received from the Audit or Assessment Team Lead as a result of the requalification process as follows:

- Supplier and Contact Information
- Requesting Entity and Contact Information
- Scope of the Supplier Service or Product
- Qualification Status and Date
- Triennial Due Date

- Triennial Requalification Completion Date

- 8.3.2 The qualification date is updated by the ASL designee when the supplier requalification is complete and the requalification indicates that no additional corrective actions are required to obtain Approved status. If corrective actions resulting from the requalification are needed, the qualification date is not changed until all corrective actions are resolved and verified.
- 8.3.3 When the qualification date is changed, the requalification date is updated by the ASL Designee to be normally three years (triennial) from the qualification date.
- 8.3.4 The ASL designee makes the following Status condition updates on the ASL: Approved, Conditional, Hold, Expired, Retired, and Removed. These conditions are defined in the Instructions section of Form QP-7.2-1.
- 8.3.5 The Director, Office of Standards and Quality Assurance, authorizes and grants the extension of the Expired status of suppliers if the requalification is not performed. If an extension is granted, the ASL designee initiates an issue and enters it into the Issues Management System, along with adequate justification for granting the extension along with requalification due date. Extensions are allowed twice and documented in the Issues Management System. An expired supplier may still provide services or items for a maximum of three months if the supplier requalification audit or assessment has not been performed.

Note: A Hold status for a supplier is noted on the ASL due to quality or technical problems identified by the requesting entity or identified during a requalification audit or assessment.

8.4 Reporting the Approved Suppliers List

- 8.4.1 The ASL designee updates the Approved Suppliers List as needed and is shown in EM Headquarters LiveLink (Content Server). Every six months, the ASL designee submits a paper copy or an electronic file to the Director, Office of Standards and Quality Assurance and the EM Records Management organization as a quality record for inclusion into the quality records system in accordance with QP-4.3, *Records Management*.
- 8.4.2 The ASL designee signs the updated ASL by documenting the month and year of the List and signing the form electronically or by signing a printed hard copy of the ASL.
- 8.4.3 The ASL designee provides *ad hoc* reports that summarize specific information on each supplier shown on the ASL. Examples of potential reports include:
- Upcoming required requalification activities every six months
 - Supplier histories every six months

9. RECORDS

Records listed below are collected per QP-4.3, *Records Management*, as individual records or included in a records package, as specified. Final disposition of QA records are based on the EM Records Disposition process.

Lifetime QA Record: None

Nonpermanent Record: Approved Suppliers List.

Non-QA Records: ASL Summary (*ad hoc*) reports.

10. FORMS

Form QP-7.2-1, *Approved Suppliers List*

11. ATTACHMENTS

There are no attachments for this procedure.

RECORD OF REVISION

DOCUMENT: QP-7.2, Revision 0 Subject Area: *Approved Suppliers List*

Revision Number	Description of Changes	Revision on Pages	Effective Date
0	Original	All	8/31/2015

Form 7.2-1, Approved Suppliers List

General Instructions

List Date: Indicate the date of the Approved Suppliers List (ASL) **Signature:** The ASL Designee signs Form 7.2-1

The ASL contains the following columns:

- Supplier and Contact Information - Name of the supplier on the ASL, work address, phone number, and email address of the primary supplier contact
- Supplier Scope - Scope of the service or product that is to be supplied.
- Requesting Entity and Contact Information - DOE EM entity that has requested qualification of the supplier, including name, phone number, and email address of the primary contact for the requesting entity.
- Qualification Status – The current qualification status of the supplier to include the following:
 - Approved- The Supplier is a current approved supplier.
 - Conditional – The supplier is conditionally approved pending completion of corrective actions identified during the qualification or requalification process. Suppliers in this status can be awarded contracts but may not provide any services or items until the corrective action is resolved.
 - Hold – The supplier is precluded from providing items or services due to quality or technical problems identified by the requesting entity or through audit and assessment activities in support of requalification activities. The supplier may not provide any services or activities until appropriate corrective actions are taken and verified by the requesting entity for technical issues and by the Office of Standards and Quality Assurance for quality issues.
 - Expired – The approved status of the supplier has slipped because a required requalification has not been performed. An expired supplier may still provide services or items for a maximum of three months if the supplier requalification has not been performed.
 - Retired - The supplier is no longer eligible to provide items or services because the requalification was not performed with three months of the requalification date.
 - Removed – The supplier is no longer eligible to provide items or services because the service or item is no longer needed or because of severe quality or technical issues as determined by the requesting entity.
- Qualification Date – The date of the last qualification or requalification of the supplier. Date of Qualification is the date the supplier's status is determined to be Approved. If a supplier is listed as Conditional, then the required corrective actions must be completed and verified prior to the supplier status being listed as Approved.
- Requalification Due Date – The date that the requalification of the supplier is due to be completed.
- Requalification Completion Date – The date the requalification of the supplier is complete.