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Rocky Flats Environmental Technology Site

PROCEDURE

EVALUATION OF SUPPLIERS

RMRS QA 07 01  
Revision 0  
Effective Date 04/01/98  
PAGE 1 of 5

APPROVED [Signature] DATE 18 MAR 98  
Manager Quality Assurance

1 0 PURPOSE

This procedure establishes the method and process for determining the need to evaluate and for completing the evaluation of RMRS subcontractors at the Rocky Flats Environmental Technology Site

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03/05/99

This procedure uses the site procedure 1 J55 ADM 08 10 and other infrastructure referenced in section 6 0 below as the primary means of meeting the Site requirements for supplier evaluations It also provides guidelines to make a determination of the type of services that require the completion of a supplier evaluation prior to contract award

Supplier evaluations performed by the RMRS QA organization are to meet the Site requirements regarding qualification of personnel documentation of the evaluation and reporting of results to the Procurement Quality Assurance Group under Kaiser Hill

This procedure implements Section 7 0 of the RMRS Quality Assurance Program Description (RMRS QAPD 001)

2 0 SCOPE

This procedure applies to RMRS personnel and subcontractors working under the RMRS QA Program that requisition services for RFETS It also applies to the RMRS Quality Assurance Organization when tasked to perform evaluation of suppliers of services

3 0 REQUIREMENTS

- 1 Prospective suppliers shall be evaluated and selected under specified criteria [ 10 CFR 830 120 2 ii DOE 5700 6C 9 b (2) ( c ) ]
- 2 The selection of Suppliers shall be based on evaluation of their capability to provide items or services in accordance with the requirements of procurement documents prior to award of contract (NQA 1 BR 7 & 7S1)
- 3 Suppliers shall have a demonstrated capability to furnish items and services that meet all requirements and specifications (E4 2 4)

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**4 0 INSTRUCTIONS****4 1 DETERMINATING THE NEED TO EVALUATE A SUPPLIER**

- [1] Using guidelines in Appendix A personnel requisitioning services for RFETS are responsible for making a determination if the service to be procured needs a supplier evaluation by the Quality organization and for including a copy of the completed Appendix A with the procurement documents
- [2] If one or more of the criteria in Appendix A is marked "yes" a supplier evaluation is to be performed in accordance with 4 2 below prior to contract award
- [3] At the discretion of the QA Manager the supplier evaluation can be performed through the Site Procurement Quality Assurance (PQA) group or by the RMRS quality engineer supporting the program/project requesting the service
- [4] The quality engineer reviews and documents concurrence with the determination made by the requester in Appendix A

**4 2 SUPPLIER EVALUATION**

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- [1] RMRS quality assurance personnel performing supplier evaluations shall be qualified lead assessors or shall perform evaluations under the supervision of a lead assessor qualified under procedure RMRS-QA-02 01 meeting the requirements of procedure 1-N92-ADM-02 03
  - [2] Evaluation of prospective suppliers will include participation by the subject matter experts (SMEs) as needed and shall be documented in accordance with the site requirements. Evaluations will be done by one or a combination of the following
    - a **Desk Top Review**  
By reviewing documentation and qualifications past performance and certificates of competency provided by subcontractor that evidence contractor's capability to perform intended scope of work
    - b **Nationally Recognized Certifications**  
By reviewing certification documentation to nationally recognized organizations like ISO 9000 ISO 14000 ASME OSHA EPA etc for the intended scope of work
    - c **Supplier Pre-Award Survey**  
By reviewing the subcontractor documented programs that evidence contractor's capability to perform intended scope of work and performing a pre-award survey at the subcontractor's location to verify implementation of their programs
    - d **Covering prospective supplier under the RMRS QA Program**  
When the contractor has no program of their own but possesses the technical know-how the RMRS QA Program may be reviewed to verify if current controls will adequately address the prospective subcontractor intended scope of work

Qualifying a contractor under this provision requires

- Clear identification of the portions of the RMRS Quality Assurance Program and implementing infrastructure that would apply to the scope of work
- Identification of oversight requirements and quality and technical personnel within RMRS who will be responsible for performing oversight functions from the technical and quality aspect
- Identifying if 100% source inspection/QA oversight is required when the service is provided at a remote location

Suppliers qualifying under this provision will be restricted from performing work on their own without RMRS supervision and will not be included in the Site's QA approved suppliers list

- [3] Results from supplier evaluations shall be reviewed by the RMRS QA Manager or designee. The quality engineer communicates the results to RMRS Procurement and the requester and ensures notification of approval to the supplier following the Site established system
- [4] The original of the documentation supporting the evaluation of the supplier is to be forwarded to the K H Procurement Quality Assurance Group for addition to the qualified supplier list and a copy is maintained at the RMRS Records Center

**4.3 Maintenance of Approval**

Suppliers evaluated by RMRS QA are subject to the same maintenance of approval review requirements as those suppliers in the Site's Approved Suppliers List. Annual maintenance evaluations or inactivations are the responsibility of RMRS QA

**5.0 RECORDS**

Documents signifying compliance with this procedure shall become permanent records. These documents shall be processed as follows:

| Record Identification   | Record Type Determination                              | Protection / Storage Methods  | Processing Instructions  |
|---|--|---|--|
| Documents related to WIPP/LL/LLM <ul style="list-style-type: none"> <li>• Completed supplier evaluation checklists and reports</li> <li>• Completed Appendix A forms</li> </ul> | <i>In Process WIPP/LL/LLM Quality Assurance Record</i> | The Lead Assessors and the Quality Engineers shall implement reasonable level of protection to prevent loss and/or degradation. Documents shall be protected utilizing standard office equipment and methods when not in use.   | Continue prescribed processing of document(s).<br><br>Upon approval and authentication handle and control as a WIPP/LL/LLM Quality Assurance Record. |
|   | <i>WIPP/LL/LLM Quality Assurance Record</i>            | Records shall be transmitted to the NQA 1 Waste Records Center within 1 working day of completion and authentication. During this 1 working day records shall continue to be protected in a manner to prevent loss and degradation. When records are not transmitted within 1 day they shall be stored in 1 | Transmit records to the NQA 1 Waste Records Center per 1 PRO 077 WIPP 005  |

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|  |                                 | hour fire rated cabinet for a period not to exceed 6 months  |   |
| Documents <b>NOT</b> related to WIPP/LL/LLM <ul style="list-style-type: none"> <li>• Completed supplier evaluation checklists and reports</li> <li>• Completed Appendix A forms</li> </ul> | <i>Quality Assurance Record</i> | The Lead Assesors and the Quality Engineers shall implement reasonable level of protection to prevent loss and/or degradation Documents shall be protected utilizing standard office equipment and methods when in process | Continue prescribed processing of document(s)<br><br>Upon approval and authentication transmit to the RMRS Records Center in accordance with RM-06 02 |

**6 0 REFERENCES**

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- 6 1 RMRS QAPD-001 RMRS Quality Assurance Program Description
- 6 2 1-J55-ADM-08 10 Subcontractor Quality Evaluations
- 6 3 RMRS-QA-02 01 RMRS Qualification and Certification of Quality Assurance Personnel
- 6 4 1 N92-ADM-02 03 Training Qualification and Certification of Independent Assessors
- 6 5 10CFR 830 120 Quality Assurance Requirements Nuclear Safety Management
- 6 6 DOE 5700 6C Quality Assurance Requirements
- 6 7 ASME NQA 1 Quality Assurance Requirements for Nuclear Facility Applications
- 6 8 ANSI/ASQC E4 Specifications and Guidelines for ER Quality Systems