

Subject: Procurement Quality Assurance	Effective Date: 10/28/02	Initiated by: Head, Quality Assurance
	Supersedes: Rev. 1 dated 2/18/00	Approved: Director

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, and that adequate records are maintained.

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 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-050 Quality Documents and Records
P-072 Quality & Procurements
QA-005 Control of Nonconformances
QA-009 DMCAO Vendor Survey/Surveillance Delegation
GEN-023 Records Management

Procedure Organization

Section A - Determining Requirements
Section B – Pre-Award Activities
Section C - Post-Award Oversight
Section D - Records

Procedure

A. Determining Requirements

Technical Representative

1. Determines, for each procurement, 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 the appropriate box on the requisition form.

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) to establish quality requirements, if a need for QA oversight has been identified. These requirements may be included in a SOW or specification or directly on the requisition form.
3. Provides PQA with drawings and other pertinent information needed to provide a clear understanding of the procurement.

Procurement

4. Provides copies of all requisitions to PQA.

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

Procurement Quality Assurance

5. Reviews requisitions and prepares Quality Requirements attachments for those where QA coverage has been specified, but no requirements included.

6. When appropriate, contacts the Technical Representative to: determine the essential characteristics of the procurement; identify and agree on the appropriate quality requirements; and establish any requirements for monitoring of supplier's activities beyond the standard oversight from PPPL. At a minimum, need is based on the importance of the item, safety considerations, relative cost, previous supplier performance, and schedule risk. Such additional oversight might include: pre-award surveillances of the supplier's facilities; supplier visits during fabrication; use of a government inspector at the supplier's site; and mandatory PPPL witness or inspection points. Any of these surveillances, inspections, audits, or witness visits may be accomplished through use of a Defense Contracts Management Agency Representative if arranged in advance in accordance with procedure QA-009.

7. Provides copies of the Quality Requirements attachments to the Technical Representative and Procurement.

Procurement

8. Includes Quality Requirements attachments as part of the procurement package.

9. Provides PQA with a copy of each subcontract or purchase order that contains Quality Requirements. Copies PQA on any changes to these documents.

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 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 or problem suppliers and may be waived for routine procurements to a known, satisfactory supplier.*
2. Implements supplier surveillance activities during contract performance to assure conformance to the procurement requirements.
3. Maintains oral and written 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.
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 1.

Technical Representative

8. Determines acceptability of delivered items. For those procurements with Receipt Inspection specified, authorizes payment by notifying Accounting of the acceptability of the items. For unacceptable items, contacts PQA to have a Nonconformance Report (NCR) issued to document the discrepancies.

Quality Assurance

9. 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.
10. 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.

D. Records

Some procurement records are "Quality Records" as defined in PPPL policy, P-050, Quality Documents and Records, and so have retention requirements. Procurement will retain the requisition and purchase order file or subcontract file for mandated periods (currently 3 or 6.25 years depending on specific criteria). The records below, as either documentation of controls applied or documentation of actual results, can, in addition to documenting compliance, provide useful information about a component or system. For this reason, and to be reasonably consistent with the procurement records retention, they are to be retained for at least 7 years from the date of transmittal to the record storage location. Where P-050 or GEN-023 specify longer retention periods, those requirements shall take precedent. The Technical Representative may, on delivery of records to the record storage location, specify longer retention periods.

Record Disposition

Technical Representative

- 1 Delivers the following records, when they are specified as part of a procurement, to the Operations Center (or other Project, Division, or Department designated File Center).
 - Statement of Work/Specification
 - Manufacturing/Inspection/Test (MIT) Plan
 - Reliability and Maintainability Documents
 - Workmanship Standards
 - Completed Release for Shipment Form
 - Process History, which includes 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

- 2 Delivers the following records to the Operations Center.
 - PPPL generated Risk Assessment Plan (inspection plan)
 - PPPL generated Nonconformance Reports
 - Quality Assurance Plan (will be sent to Project/Div/Dept Record Center if one is designated)
- 3 Retains Quality Assurance Program Manuals, when required for a procurement, in Quality Assurance files.

Attachment

1 PPPL Shipping Release

PRINCETON UNIVERSITY
PLASMA PHYSIC LABORATORY—PPPL**PRODUCT QUALITY CERTIFICATION AND SHIPPING RELEASE**

PROJECT	ITEM DESCRIPTION				SHIPMENT NUMBER
PPPL SUBCONTRACT/ ORDER NO.	REV.	ITEM NO.	SUPPLIER REFERENCE NO.	REV.	QUANTITY SHIPPED

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: _____

PPPL (AUTHORIZED REPRESENTATIVE) SHIPPING RELEASE

This is to certify that evidence supporting the above Supplier's Certification statement has been audited and no product/service nonconformances from procurement requirements have been found unless noted below. This product/service is hereby released for shipment.

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 Vendor, 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.

NONCONFORMANCES FROM PROCUREMENT QUALITY REQUIREMENTS:

REMARKS/PRODUCT SERIAL NUMBERS:

BY PPPL QA REPRESENTATIVE (OR DESIGNEE)

DATE