

# MINOR CHANGE REQUEST FORM

MCR NO. **MCR-QA-003.R7-001**

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

The Minor Change Request (MCR) Form is to be used to process Minor, or in some necessary cases, Urgent or Temporary changes to PPPL Lab-wide procedures). The MCR should be used when changes are:

- 1) **minor** and do not warrant further SME review;
- 2) **urgent** and cannot wait the 2-4 week period for further SME review; or
- 3) **temporary**, to revert to original state by a given expiration date (must be within 6 months).

For questions about definitions of “minor,” “urgent,” and “temporary” changes, please review Lab-wide Procedure GEN-001, **Development, Review, and Approval of Lab-wide Documents**.

Person Requesting Change: Frank Malinowski \_\_\_\_\_ Pone Ext: 2203

Department Name: Quality Assurance

Document Number: QA-003

Revision No.: 7

Document Title: Procurement Quality Assurance and Supplier Qualification

## Reason for change:

To clarify some of the streamlined qualification processes used.

## Change description:

Added Paragraph 4, Alternate Qualification for Authorized Organizations, to Appendix 1 to address qualification of OEM-authorized organizations.

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

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

If 1 or 2 is **YES**, explain why the changes should not be submitted as a revision: Submitted as urgent change request, revision to follow.

Place a check mark next to the appropriate type of change request:

- Minor change?
- Urgent change? (revision must follow within 2 weeks) **X** submitted as urgent change request, revision to follow.
- Temporary change?

If “temporary change” is checked, provide expiration date, allowing document to revert to original state (must be within 6 months):   

\_\_\_\_\_  
Management System Owner/Designee Approval

\_\_\_\_\_  
Date

\_\_\_\_\_  
Head, PACM/Designee

\_\_\_\_\_  
Date

Release/Effective date of this MCR: 01/09/2020

<b>PPPL</b>	<b>PRINCETON PLASMA PHYSICS LABORATORY</b>	<b>PROCEDURE</b>	<b>No. QA-003 Rev. 7 Page 1 of 9</b>
<b>Subject:</b>  <b>Procurement Quality Assurance and Supplier Qualification</b>		<b>Approval Date:</b>  8/8/19	<b>Initiated by:</b>  Head, Quality and Assurance
		<b>Effective Date:</b>  9/2/19	
		<b>Supersedes:</b> Rev. 6 dated 2/21/2019	<b>Approved:</b>  Laboratory Director

MCR-QA-003,R7-003

**Management System (Primary):** 12.00 Quality Assurance  
**Management System Owner:** Head, Quality and Assurance  
**Management Process:** 12.01 Quality Assurance Program  
**Process Owner:** Head, Quality and Assurance  
**Sub-Process:** 12.01.07 Procurement including Supplier Reviews and Performance Evaluation  
**Process Owner:** Head, Quality and Assurance  
**Subject Matter Expert** Procurement Quality Assurance Manager/Engineers

**Applicability**

*Note: For purposes of this procedure, the words “vendor”, “supplier”, and “subcontractor” are used synonymously.*

This procedure is applicable to risk-category A-1 and A-2 (as defined in the Laboratory’s Quality Assurance Program Description (QAPD)) procurement actions at the Laboratory. Regardless of category, the Technical Representative is responsible for the quality of their procurement actions and responsible for assuring that procurement-related records (Section F) are delivered to the Operations Center. The Technical Representative may request implementation of any of the following controls for A-3 procurement actions.

**Introduction and Scope**

The procedure establishes the practices to assure:

- pertinent quality requirements are incorporated into solicitations and awards,
- appropriate qualification and surveillance of supplier compliance is conducted,
- verification of the delivery and acceptance of items, and
- maintenance of adequate records.

To these ends, the procedure covers the following aspects of procurement related quality assurance activities:

- determination of quality assurance (QA) requirements,
- appropriate level of QA and quality control (QC) support,
- vendor qualification, and
- pre- and post-award activities.

For A-1 and A-2 procurement actions, the three individuals with direct responsibility are identified within this procedure as:

**Technical Representative:** The technical person managing the technical aspects of the procurement (often the COG, usually the requisitioner, and always, if there is one appointed, the Princeton Technical Representative (PTR)).

Procurement Representative: The assigned Procurement Specialist.

QA Representative: The assigned Quality Engineer.

It is important that communication among these three interested parties be maintained at all times. This communication includes but is not limited to advising of changes to the procurement; document or drawing revisions; progress of the procurement; problems associated with the procurement; and recommendations for action. General Oversight Guidelines are provided in Appendix 2.

### Reference Documents

QAPD	PPPL Quality Assurance Program Description
QA-002	Quality Assurance Audits
QA-004	QA/QC Site Inspection and Oversight
QA-005	Control of Nonconformances
QA-020	Suspect & Counterfeit Items Control and Dispositioning
QP-002	Quality Assurance Records
GEN-023	Records Management
PPPM	Procurement Policies and Procedures Manual

### Definitions

Supplier Qualification	The actions taken by PPPL to verify that a supplier being considered for provision of products or services to PPPL has adequate technical capability and quality management systems to perform the work. See Appendix 1, Supplier Qualification Process for methods of ensuring that suppliers are qualified.
Procurement Quality Assurance (PQA)	The function within the Quality and Assurance organization responsible for supporting procurement activities.

### Procedure Organization

Section A - Determination of Quality Requirements & Procurement Quality Assurance Support  
 Section B - Pre-Award Activities  
 Section C - Post-Award Oversight  
 Section D - Receipt of Items  
 Section E - Training  
 Section F - Records Requirements Specific to This Procedure

### Procedure

#### A. Determination of Quality Requirements & Procurement Quality Assurance Support

- |                          |   |
|--------------------------|---|
| Technical Representative | 1. Provides Procurement Quality Assurance (PQA) with drawings and other pertinent information needed to provide a clear understanding of the procurement. |
|--------------------------|---|

2. Ensures, in consultation with PQA (pqa@pppl.gov), that the appropriate steps are taken to confirm that prospective suppliers are qualified (reference Appendix 1), and that the level of supplier surveillance and oversight control for each procurement action meets the requirements and is adequate.
3. Determines, with PQA, the appropriate requirements from the standard quality clauses for procurements (<http://www-local.pppl.gov/qa/PQA/QAClauses.doc>) and customizes them for the specific procurement. At a minimum, the QAPD requires mandatory inspection and testing planning, travelers/Manufacturing Inspection and Testing plan for fabrications, and final acceptance of completed work. Note that formal inspection and test planning is typically not applicable for commercial off-the-shelf (COTs) items.
4. a. Includes the quality requirements in the appropriate document(s):
  - Statement of Work (SOW),
  - Technical Specification,
  - PQA Clause Attachment to the Requisition,
  - As a line item on the Requisition itself (e.g. traceable Material Test Reports). *Note: This option should be used only for procurements where the QA requirements are very few and can be concisely, yet completely defined on the requisition.*b. Assures that the SOW, Technical Specification, or requisition attachment is approved per PPPL procedures.
5. a. Ensures that QA will be informed of procurement actions by selecting Quality Assurance as a Required Review on the on-line requisition page.

Note: Checking this Review block is necessary regardless of whether PQA has signed procurement related documents such as Specifications or Statements of Work (SOWs).

b. Indicates the need for documented receipt inspection, mandatory for A-1 or A-2, by selecting the requirement on the on-line requisition page.
- c. Ensures Risk Category and SBS (System Breakdown Structure) number(s), as applicable, are indicated on the Requisition to facilitate subsequent processing.
- d. When potential suppliers requiring qualification have been identified, completes the Request for Supplier Qualification at:  
<https://pppl-intranet.princeton.edu/resources/quality-assurance/pqa-information/list-of-qualified-suppliers>.

*Note: Do not assume that QA (or Procurement) know what supplier is preferred. Providing QA and Procurement with one or more supplier options as far in advance as possible will ensure a more expeditious qualification process. Please be sure to provide as much of the following information as possible:*

- *Supplier name, location, and website*
- *Contact person(s) name, email address, and phone number (include a QA individual if possible)*
- *Scope of qualification (e.g. machining, welding, and fabrication services)*
- *Information regarding previous experience at PPPL and the quality of those experiences.*

6. Plans final acceptance activities for A-1 and A-2 activities with QC. For items, this will include receipt inspection in accordance with Section D. For services, the SOW defines the final acceptance process, often a walk-through inspection which may include performance testing. In either case, a record of acceptance shall be provided to the Procurement and Quality Representatives.

- a) Determines who will do which inspections, including when QC witnessing is needed.
- b) Determines characteristics to inspect, tests to be performed, and number of items to be inspected.

*Note: Refer to Appendix 3 for receipt inspection and sampling guidelines.*

PQA  
Representative

7. Initiates qualification process for identified potential suppliers, if not already qualified.

*Note: This often is not possible until later in the process when the potential suppliers are identified by proposals received.*

8. Obtains approval of supplier qualification for A-1, and either approval or waiver from the appropriate Responsible Engineer (RE) for A-2. Approval of qualification shall be documented by memo.

*Note: To qualify the supplier for more than a single RE's activities, the Chief Engineer may approve the qualification and the supplier will be qualified for use throughout the Lab. This lab-wide approval will be the preferred approach for suppliers.*

Procurement  
Representative

9. Includes the quality requirements as part of the solicitation and any subsequent awards.

**B. Pre-Award Activities**Procurement  
Representative

1. Reviews proposal submittals for procurements categorized as A1 or A2 with Technical Representative and PQA to determine acceptability.
2. Verifies that the potential supplier is formally qualified prior to making award. The Qualified Supplier List (QSL) is posted on the PQA web page at:  
<https://pppl-intranet.princeton.edu/resources/quality-assurance/pqa-information/list-of-qualified-suppliers>.
3. Where the requisition calls for QA Review, ensures that the PQA Oversight Required Business Code is checked on each subcontract or purchase order to assure PQA notification of procurement action status changes.
4. When a site visit is part of qualification during an active solicitation, supports the Technical Requestor or PQA in arranging a visit to evaluate technical capability and/or quality controls.
5. Works with the supplier for timely resolution of any issues related to pre-award activities.
6. Copies QA Representative on issuance of Purchase Order, Subcontract, BOA, BPA, or BOA/BPA Release, as well as any changes, for A-1, A-2, and other procurements with QA Review indicated on the requisition.

**C. Post-Award Oversight**QA  
Representative

1. If there are quality requirements that require supplier actions after award, establishes contact with the supplier (supplier Quality Assurance Representative preferred) after the award to assure awareness and participation before work is begun.

Technical/ QA  
Representative

2. Implements planned supplier surveillance activities during contract performance to assure conformance to the contractual quality assurance requirements.

*Note: An example of the Surveillance Sheet (a combination surveillance planning and reporting form) is shown in Attachment 2.*

- |   |  |
|---|--|
| Technical/ QA/<br>Procurement<br>Representative | 3. Assures that the Technical Representative, PQA, and Procurement Representative are aware of progress, problems, and observations. Engages the PM, RE, COG, and Subject Matter Experts (SMEs) as required and appropriate. |
| Technical/ QA<br>Representative                 | 4. Secures Procurement's support with unresponsive suppliers.  |
| Technical/ QA/<br>Procurement<br>Representative | 5. Works with the supplier for timely resolution of any discrepancies or nonconformances.  |
| QA<br>Representative                            | 6. If a supplier submits a Deviation Request, processes it requiring the same signatures required for a Supplier Nonconformance Report.  |
| Technical/ QA<br>Representative                 | 7. Responsible for recording and disseminating notes and any results from each supplier visit to the Technical Representative, Quality Representative, and Procurement Representative.                                       |
| QA<br>Representative                            | 8. Authorizes shipment, when Release for Shipment is specified in the QA requirements, by approving the PPPL Shipping Release form (Attachment 1).   |

#### D. Final Acceptance of Completed Work- Receipt Inspection of Items

The Technical Representative is responsible for dispositioning all Nonconformance Reports (NCRs) and determining acceptability of items received and services completed. The following is the process for items with Receipt Inspection Required.

- |                             |   |
|-----------------------------|---|
| Material Services           | 1. Notifies the Technical Representative by email, copy to QA/QC, when the items have been received indicating that the individual is responsible to have receipt inspection performed per Step A.6.<br><i>Note: Due to size or special inspection requirements, Material Services will release the items in advance when the inspection will be done at a location other than Receiving.</i>   |
| Technical<br>Representative | 2. Assures that inspection is performed per agreed upon plan (Step A.6).<br><br>3. Determines acceptability of delivered items by reviewing documented inspection/test results.<br><br>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 simple shipping or packaging mistakes, such as the wrong item shipped, notifies Procurement. |



- |                            |  |
|----------------------------|--|
|                            | 5. Responds to the receipt inspection notification email indicating either that the items have been inspected and accepted or that there is an NCR.  |
| QA                         | 6. Distributes any NCRs to Accounting, Procurement, and the Technical Representative.  |
| Accounting                 | 7. Until all Supplier NCRs and any PPPL NCRs related to quality of deliverables are resolved, withholds final payment of supplier.   |
| Procurement Representative | 8. Works with the Technical Representative, QA, and the supplier to resolve any discrepant issues until NCRs are resolved.   |
| QA                         | 9. Distributes closed NCRs to the Procurement and Technical Representatives and Accounting after satisfactory resolution in accordance with Procedure QA-005, <i>Control of Nonconformances</i> . This provides Accounting with notice that payment should no longer be held due to quality concerns.  |
| Technical Representative   | 10. Provides final acceptance of completed work, including resolution of any NCRs.   |
| Material Services          | 11. On receipt of the email indicating acceptance, releases item(s) to Technical Representative if not already released per Step D.1.  |
| Technical Representative   | 12. Delivers the records specified as part of a procurement action to the Operations Center. These records may include: <ul style="list-style-type: none"> <li>• Statement of Work/Specification</li> <li>• Manufacturing/Inspection/Test (MIT) Plan and Travelers</li> <li>• Quality Assurance Plan</li> <li>• Reliability and Maintainability Documents</li> <li>• Workmanship Standards</li> <li>• Completed Release for Shipment Form</li> <li>• Process History, which may include Certificates of Compliance, Material Certifications, Planning &amp; Control Documents, Inspection Reports, Test Reports, supplier NCRs, and Personnel Qualifications and Certifications</li> <li>• Correspondence to the suppliers that change the requirements, and</li> <li>• All supplier-provided as-built drawings are to be delivered to CAD by the Technical Representative.</li> </ul> |



PQA  
Representative

13. Delivers any PPPL generated Nonconformance Reports to the PPPL Operations Center in accordance with Procedure QA-005, Control of Nonconformances.

### **E. Training**

Head of QA/QC  
or Designee

1. Ensure the following training methods and means are implemented.  
Target Audience: Procurement, PTRs, Engineering, Accounting, Facilities, Material Services, Research, IT, ES&H, and QA/QC.  
Training Method: Read-only or online training will be part of the PTR training and shall be included in the training matrices for Procurement, Engineering, Accounting, Facilities, Material Services, Research, IT, ES&H, and QA/QC.

### **F. Records Requirements Specific to this Procedure**

Procurement will retain the requisition and purchase order file or subcontract file for mandated periods for each record type. Where GEN-023 specifies longer retention periods, those requirements shall take precedence. The 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:

<b>Record Title</b>	<b>Record Custodian</b>	<b>Location</b>	<b>Retention Time</b>
Supplier Quality Assurance Program Manuals and PQA Surveys (questionnaires)	Quality Assurance	Quality Assurance Files	Destroy 7 years after date of issue. <i>Reference: A17 Cartographic, Aerial Photographic, Architectural, Engineering and Facility Management Records (16.b) requires 1 year, QA Policy specifies 7.</i>
Supplier Quality Assurance Program Documents such as: <ul style="list-style-type: none"> <li>• Manufacturing/Inspection/Test (MIT) Plan</li> <li>• Quality Assurance Plan, if separate from the MIT Plan</li> <li>• Reliability and Maintainability Documents</li> <li>• Workmanship Standards</li> </ul>	Operations Center	Operations Center	Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use. <b>Note 1:</b> Procurement and other financial files that stand out because of high dollar value, media attention, historical value, research value, or other extenuating circumstances may have permanent value. Agencies that believe they hold such files should submit a records schedule to NARA. <i>Reference: GRS1.1, Financial Management and Reporting Records (10)</i>
Process History, which may include: <ul style="list-style-type: none"> <li>• Certificates of Compliance</li> <li>• Material Certifications</li> </ul>	Operations Center	Operations Center	PPPL requirement: retain all equipment records for life of equipment.

Record Title	Record Custodian	Location	Retention Time
<ul style="list-style-type: none"><li>• Planning &amp; Control Documents</li><li>• Inspection Reports</li><li>• Test Reports</li><li>• Supplier NCRs, and</li><li>• Personnel Qualifications and Certifications</li></ul>			

**Appendices**

1. Supplier Qualification Process
2. Supplier Oversight Guidelines
3. Inspection and Sampling Guidelines

**Attachments**

1. PPPL Shipping Release
2. Surveillance Sheet Example

## DETERMINING SUPPLIER QUALIFICATION

Suppliers shall be formally qualified prior to procurement award for A-1 items or services. Formal qualification is also required for A-2 items and services unless a formal waiver is approved by the RE. For purpose of this document, a supplier is defined as the entity from whom PPPL is purchasing an item or service. The Procurement QA Representative will determine the appropriate qualification evaluation methods, with input solicited from the Technical Representative. Qualification approval by the RE is required. The Technical Authority and Chief Engineer may approve instead of the RE to extend the qualification beyond a single RE's area of responsibility, or when an RE is not assigned or absent.

Evaluation factors to be considered may include, the supplier's documented quality management system, depth and expertise of their technical personnel, their demonstrated quality controls, qualification by other reputable organizations, and history with PPPL and similar industrial clients. The Procurement Division evaluates financial capabilities in accordance with the Procurement Policy and Procedures Manual (PPPM).

The qualification process for a specific procurement action may be defined in the associated Technical Specification or Statement of Work or can follow the general approach defined below. In every case, a statement of qualification, typically from PQA, but possibly generated by the Technical Representative, will be prepared for approval by the Responsible Engineer (for a specific procurement action), Technical Authority (for work involving that particular technical area), or Chief Engineer (for lab-wide approval).

**1. General approach to Supplier Evaluation.** Evaluation of a supplier's qualification shall be accomplished by one or more of the following:

**1.1. Desk Survey.** An evaluation of prospective supplier to determine acceptability to proposed contractual requirements without requiring an at-site visit. Desk surveys shall typically consider the following criteria, when available:

- a. Sending the supplier a PQA Supplier Quality Survey Form provided by QA. QA shall evaluate the completed PQA Supplier Quality Survey Form and ensure that any follow up questions/issues with the supplier are responded to/resolved.
- b. Reviewing of previous PPPL experience with the Supplier for same or similar items and services. This will normally be used in conjunction with the PQA survey to either determine that the supplier has a quality program to assure consistent quality or, for previously qualified suppliers, to determine if significant changes have occurred. The review shall include reviewing available Nonconformance Reports (NCRs), source surveillances, and audits of items/services.
- c. Consideration and acceptance or partial acceptance of assessments performed on the same supplier by external organizations [e.g., other DOE Laboratories or contractors, Defense Contract Management Agency, Department of Energy Consolidated Audit Program, (DOECAP), Energy Facility Contractors Group

(EFCOG), and/or the supplier's customers that have significant quality controls (e.g., aerospace, defense, and medical industry related).]

- d. Reviewing the supplier's certifications or accreditations to industry standards (e.g., ISO 9001, the National Voluntary Laboratory Accreditation Program (NVLAP), ASME, etc.).

**1.2. Assessment of Supplier's Technical and Quality Capabilities at their facilities.** The RE or a designee shall perform technical assessments. A QA representative shall perform assessments of the supplier's quality capabilities. The qualification action, questionnaire or checklist, and results of the qualification shall be documented.

**1.3. Supplier Audit led by a QA Lead Auditor shall be performed in accordance with the requirements of PPPL Procedure QA-002, Quality Assurance Audits.**

## **2. Additional Considerations for Distributors of Commercial off the Shelf (COTS) Items**

2.1. The distributor shall be an original equipment manufacturer (OEM) authorized distributor, when the OEM maintains such a listing. A document to that effect shall be obtained and retained as PPPL Record by QA.

2.2. COTS from non-authorized distributors (or other suppliers) that have not been otherwise qualified per section 1 (above) may be procured provided the items pass physical, chemical, or other analytical testing to confirm that they meet PPPL requirements. The requirements for such tests shall be established by the Responsible Engineer, with concurrence from the QA representative, and shall be approved by the Technical Authority. The documentation shall include the critical characteristics, acceptance criteria, method of testing/analysis (including sampling scheme, if used), person performing the test, and organization. Test results, qualification determination, and basis of such determination shall be documented. In some circumstances the Responsible Engineer may determine minimal testing or visual examination is adequate depending on the use of the item and the ability to see flaws or problems without complex testing. This approach may be used with concurrence from the QA representative, and approval by the Technical Authority.

## **3. Qualification for Personnel Services.**

Where services of a specific individual or specific individuals are subcontracted, the individuals are the suppliers of the service, so qualification shall be of the individuals. Clear requirements for qualification must be specified. Review of these submittals shall be documented as qualification of the successful candidates. **MCR-QA-003,R7-001**

## **4. Alternate Qualification for Authorized Organizations**

4.1. OEM Authorized Service Organizations may be qualified based on being listed by the OEM as an authorized service provider. The individual requesting qualification shall complete a Qualification of OEM-Authorized Service Provider form (available with the other QSL information at:

<https://pppl-intranet.princeton.edu/resources/quality-assurance/pqa-information/list-of-qualified-suppliers>.) Responsible Engineer for the item to be serviced shall issue the signed form to QA stating the basis of qualification and attaching a copy. QA will review the form and update the QSL if there are no concerns. **MCR-QA-003,R7-001**

- 4.2. Authorized Distributors of a qualified (on the PPPL QSL) OEM may be qualified based on being listed by the OEM as an authorized distributor. QA will document both verification of authorization and qualification. **MCR-QA-003,R7-001**
- 4.3. The OEM is considered qualified for software maintenance agreements for their product(s) without need for documentation of qualification. **MCR-QA-003,R7-001**

## **SUPPLIER OVERSIGHT GUIDELINES**

### **Prior to release for manufacturing**

A kick-off meeting to establish lines of communication and to review the requirements is recommended. Ideally the Technical Representative, PQA Representative, and any personnel that will be making periodic visits attend the kick-off meeting with subcontractor fabrication and QA/QC personnel to establish expectations and familiarize all with the work process.

Various deliverable documents identified in the governing documents as prerequisite to the start of manufacturing are reviewed and approved by the Technical Representative and others as appropriate during this phase. These may include:

- Design documents including parts/materials lists and drawings that describe the deliverable items as well as the tooling, as applicable,
- Material Certifications,
- Personnel and/or process qualifications,
- MIT plans (note, in lieu of another defined process, approval of the MIT Plan is typically also the release to manufacture),
- Procedures, and
- Travelers (often the MIT Plan serves this function.)

Confirmation of the readiness of the fabrication facility and tooling by direct observation may be necessary during this phase.

### **In-process**

Consider regularly scheduled status meetings. They have proven to be well worth the time they take; often identifying issues that otherwise would only have been discovered later, if at all. Without periodic meetings, sources of delay may not be discussed until weeks have passed.

Periodic visits, or continuous presence, (as determined in Step A.2 of this procedure) may be planned to observe the manufacturing process including, but not limited to, those scheduled as witness/hold points. Surveillance shall include verification of specific items/paragraphs from the specification, statements of work, drawings, and travelers along with the associated records and reports, as well as the condition of facilities and equipment as pertinent to the fabrication. The Technical Representative shall assure, directly or using delegates, that:

- Training required by the MIT Plan, traveler or procedure has been accomplished.
- Documentation associated with the traveler (inspection/test results, material certifications, etc.) is collected and is complete for the stage of fabrication.
- The traveler is in use on the shop floor and is appropriately complete.
- Storage and handling of materials/items, including traceability, is acceptable.
- Environmental controls (cleanliness, temperature, humidity, etc. are as specified in MIT Plan, traveler, or procedure.

- Measuring and test equipment (M&TE) is calibrated and meets any job-specific requirements.
- Sufficient oversight of the process is provided to ensure compliance. Visits to the fabrication site shall include specified witness or inspection points and general oversight visits.
- Discrepancies that are not readily resolved without deviation from process and item requirements must be documented and nonconformance reports (or the supplier's equivalent documentation) issued.

**Final inspection and acceptance testing**

Site visit(s) are planned for complex fabrication work to witness final inspections and tests when it is not practicable to perform these tests/inspections later or at PPPL.

The bulleted items from the In-process guidelines that are listed above also apply to final inspection and acceptance testing.

Consider the adequacy of the supplier's packaging and package markings prior to shipment.

Various deliverable documents identified in the governing documents as prerequisite to the release for shipping are reviewed and approved prior to release for shipping. This approval will be indicated on the PPPL Product Quality Certification & Shipping Release.



**Minimum Items to Consider 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 ( $\geq 100$ 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.
- Below is the sampling scheme that PPPL uses as a default. It is a simplified table, derived using information from ANSI/ASC Z1.4-1993 with the intention of rejecting the lot if any defects are found in the sample and the provision that all samples are from the same Lot (Batch, Run, Heat, etc.). Using ANSI/ASC Z1.4 standards, more stringent or relaxed schemes can be selected as appropriate to the particular procurement action.

Sampling Table

<b>Lot Size</b>	<b>Sample Size</b>
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 #
	<b>SUPPLIER'S CERTIFICATION</b>		
	<p>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.</p> <p>SIGNED: _____ DATE: _____</p> <p>TITLE: _____ COMPANY: _____</p>		

Completed, signed, and returned by PPPL before shipment	<b>PPPL (AUTHORIZED REPRESENTATIVE) SHIPPING RELEASE</b>	
	<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

*Rev. 1 November 15, 2010*

# Surveillance Sheet

**Subcontractor Information****Oversight Plan #:**

Company Name + Address:	Click here to enter text.
Contact Name + Phone No.+ e-mail:	Click here to enter text.
Purchase Order/Subcontract Number:	Click here to enter text.
Phone No. + e-mail: Technical Representative: Procurement Specialist (PS): QA Representative (QAR):	Click here to enter text.
Specification or SOW:	Click here to enter text.
Pertinent Drawings:	Click here to enter text.
Pertinent Documents:	Click here to enter text.

**Task Plan** *Specify operations, inspections, and/or tests to be witnessed or performed and the items involved. Otherwise describe purpose of visit, for example, "In-process visit to ensure compliance with specification and MIT plan."*

Click here to enter text.

**Issuance:**

Technical Representative signature/date:	
Assigned Individual Name(s):	

**Report** *Surveillance reports are to be submitted after each surveillance visit (within 48 hours) or weekly for extended visits. Reports shall contain clear statements evaluating the conditions as "Acceptable" or "Un-Acceptable". The report should make reference to the objective evidence that demonstrates the conditions verified. Photos should be included to provide a clear description of conditions observed.*

*Should non-conforming conditions be observed, immediately notify the Supplier representative and contact the Technical Representative and QAR via e-mail or telephone. The supplier should generate their own Nonconformance Report. The supplier's report number or an Action Item number should be identified in the surveillance report as an Action Item so that the issue can be tracked to resolution.*

Prepared By:	Click here to enter text.	Date of Report:	Click here to enter text.
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Date of Visit:	Click here to enter a date.	FTMS # (Foreign Visits only):	
Other PPPL Representatives Present:	Click here to enter text.		
Subcontractor Representatives Present:	Click here to enter text.		
Item Identification:	Click here to enter text.		
<b>SUMMARY</b> Performance Satisfactory? <input type="checkbox"/> Yes <input type="checkbox"/> No Open Actions/Non-conformances? <input type="checkbox"/> No <input type="checkbox"/> Yes Follow-up Visit Required? <input type="checkbox"/> No <input type="checkbox"/> Yes  Action Items:			
<b>DETAILS</b>			

**Signatures w/date:****Attachments:****Distribution:**Operations Center  
PQA File