CPCCo
Central Plateau
Cleanup Company

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Administrative Procedure, Level 1 - Company Wide

CPCC-PRO-QA-268

PRC-PRO-QA-268

Control of Purchased/Acquired Items and Services

Revision 0, Change 4

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Functional Manager: Skerbetz, Joseph R

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USQ Facility	USQ Review	Screener
D4ES-Central Plateau	GCX-7 (Minor Change)	Griebel, Scott D
105 KW Facility	(Screening/Determination Performed (no issues)) *105KW-25-0010*	Meyer, Matthew F
Canister Storage Building/Interim Storage Area	GCX-7 (Minor Change)	Garrett, Robert J
Solid Waste Operations Complex	GCX-7 (Minor Change)	Carman, Hans M
Transportation	GCX-7 (Minor Change)	Bridges, Alvia E
Waste Encapsulation Storage Facility	GCX-7 (Minor Change)	Garrett, Robert J
Below HazCat 3	GCX-2 (Editorial Changes)	Bullock, Susan A
324 Building	GCX-8 (Not in Safety Basis Compliance Matrices)	Garrett, Robert J
Capsule Storage Area	GCX-7 (Minor Change)	Garrett, Robert J

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Change Summary

Description of Change

Editorial change captured on CR-2025-0214-01

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1.0 INTRODUCTION

1.1 Purpose

This procedure implements portions of the requirements of CPCC-MP-QA-599, *Quality Assurance Program* (QAP), and portions of the requirements of DOE/RW-0333P, *Office of Civilian Radioactive Waste Management* (OCRWM), *Quality Assurance Requirements and Description* (QARD). This procedure describes the responsibilities and interfaces necessary to ensure structures, systems, components (SSC), and other items and services procured/ acquired for the Central Plateau Cleanup Company (CPCCo) meet the specified technical and quality requirements.

1.2 Scope

NOTE: *The word "item" is an all-inclusive term used in place of any of the following: appurtenance, assembly, component, equipment, material, module, part, structure, subassembly, subsystem, system, unit, or support systems and software.*

This Management Control procedure applies to procurement of Quality Level (QL) -1, -2, and -3 items and services. It also applies to procurements and acquisitions placed by CPCCo for items and services from other Hanford contractors (OHC) and from contractors at other U.S. Department of Energy (DOE) sites (fund transfers), as appropriate.

1.3 Applicability

This procedure is applicable to all CPCCo and contractor personnel involved with the procurement of items or services to be used by the CPCCo.

1.4 Implementation

This procedure is effective upon publication.

2.0 RESPONSIBILITIES

All responsibilities associated with this procedure are identified in the process steps in Section 3.0.

3.0 PROCESS

- Job titles used throughout this procedure are generic terms used to depict the function and may vary from official job titles.
- The procedure step numbering is not intended to dictate the literal sequence of actions.
- Reviews need to be performed by personnel who have access to pertinent information and who have an adequate understanding of the requirements and scope of the procurement, and do not have direct responsibility for performing the work related to the procurement being reviewed.
- Hanford Mission Integration Solutions (HMIS) Acquisition Verification Services (AVS) performs receiving and source inspection for the CPCCo in accordance with Statement of Work (SOW) #75549-4 . This SOW also identifies how the HMIS Evaluated Supplier List (ESL) will be utilized by CPCCo personnel. CPCCo maintains a separate ESL for services provided by on site contractors whose QA programs have been evaluated and found acceptable. See Section 3.8, “CPCCo ESL Services.”
- Defined by CPCC-PRO-QA-259, Graded Approach, this process applies to QL-1, -2 and -3 items and services. QL-1 and -2 items are purchased from suppliers whose QA programs have been acceptably evaluated and are currently on the HMIS ESL, unless the item is purchased as a commercial grade item (CGI). QL-1 and -2 items are also receipt inspected. QL-3 items may or may not be receipt inspected, and do not require purchase from suppliers whose QA programs have been acceptably evaluated or are currently on the HMIS ESL.

3.1 General Control of Purchased/Acquired Items and Services

Actionee	*Step*	*Action*
System Engineer (SE)/ Design Authority (DA)/ Technical Authority (TA)	1.	PREPARE the procurement/acquisition document(s) that identify the appropriate QL and Safety Classification in accordance with CPCC-PRO-QA-259.
	2.	IF the item is acquired from another DOE Site or OHC, THEN ENTER the item into the Asset Suite system to control the processing of QL-1, -2, and -3 items and services.

Actionee	*Step*	*Action*
SE/DA/TA	3.	PROVIDE the following information as applicable: • SOW in accordance with CPCC-PRO-AC-40480, *Acquisition Planning.* • CPCCo *Request for Pre-Award Evaluation* (Site Form A-6004-885). • Source verification requirements, *Quality Assurance Inspection Plan* Site Form A-6700-119.1. • Receiving inspection requirements Site Form A-6004-831. • CGI/Service dedication requirements. • Supplier monitoring requirements • Procurement quality clauses (latest revision). • Identify the procurement documents as OCRWM-related for procurements subject to OCRWM QARD requirements
NOTE:		*The Quality Assurance Requirements (Site Form A-6004-832) may be used to designate the quality program requirements for the procurement, except that it may not be substituted for Site Form A-6004-885.*
	4.	WHEN a Quality Assurance Requirements (Site Form A-6004-832) (QAR) is used, PLACE a step within the quality assurance inspection plan (QAIP) that requires AVS to submit a copy of the QAR to records with the rest of the procurement documentation.
SE/DA/TA	5.	SUBMIT procurement and acquisition documents to reviewing and approving organizations in accordance with CPCC-PRO-AC-40480 and CPCC-PRO-AC-40478, Procurement of Materials.
NOTE:		*Appendix A stipulates the definitions of minor, editorial, and major changes to procurement and acquisition documents.*
	a.	RECORD that document changes not subjected to review by the reviewing and approving organizations satisfy the definition of minor-inconsequential editorial change.

Actionee	*Step*	*Action*
Reviewing and Approving Organizations	6.	REVIEW AND APPROVE the procurement and acquisition documents. a. ENSURE the procurement documents have been properly prepared and that design, Quality Assurance (QA), and other technical requirements are addressed in accordance with CPCC-PRO-AC-40480, CPCC-PRO-AC-40478, and CPCC-PRO-IRM-8310, Document Control Processes, and that all applicable requirements: • Are correctly stated Can be verified by inspection or test, with adequate acceptance and rejection criteria
	7.	RESOLVE comments as necessary with the SE/DA/TA.
NOTE:		*Appendix A stipulates the definitions of minor, editorial, and major changes to procurement and acquisition documents.*
SE/DA/TA	8.	ENSURE changes to technical, procurement, and acquisition documents are also approved, released, and controlled in accordance with CPCC-PRO-AC-40480, CPCC-PRO-AC-40478, and CPCC-PRO-IRM-8310. Any changes are subject to the same degree of control as used in the preparation of the original documents. a. RECORD that document changes not subjected to review by the reviewing and approving organizations satisfy the definition of minor-inconsequential editorial change.
	9.	AFTER required approvals have been obtained, TRANSMIT completed and approved procurement documents not provided through Asset Suite to: • Contract Specialist AVS
NOTE:		*AVS works to Appendix B requirements..*
Contract Specialist	10.	CONFIRM that the procurement documents have been properly reviewed and approved.
	11.	ENSURE procurement and acquisition documents are controlled and processed in accordance with CPCC-PRO-AC-40480 and CPCC-PRO-AC-40478.
	12.	VERIFY supplier submitted documentation received is traceable to the originating procurement/acquisition document (e.g., material request, contract requisition, work package).

Actionee	*Step*	*Action*
Contract Specialist	13.	VERIFY right of access to the supplier's facilities and records is part of the terms and conditions, if required.
	14.	VERIFY that a requirement for supplier to incorporate the appropriate QA requirements into any supplier procurement document issued to a sub tier supplier is part of the terms and conditions, if required.
	15.	VERIFY that a supplier of QL-1/SC or QI-2/SS procurements or environmental analytical services (defined as contract, master agreement, basic ordering agreement [BOA], contract release, or purchase order [PO]) is currently on the HMIS ESL for the required quality program criteria identified in the procurement documents.

NOTE:
- AVS review is not required for general service procurements and designated commercial grade item dedication.
- AVS reviews the selected QL-1/SC,QL-2/SS, and environmental analytical services procurement vendor status on the HMIS ESL. As appropriate, AVS verifies evaluation and approval status of the selected vendor in accordance with the Asset Suite procurement documents and the vendor evaluation records. The review is documented with an approval or rejection in Asset Suite.

Contract Specialist	16.	TRANSMIT the procurement electronically, including any modifications in which the supplier’s name, address, capability, or required quality program criteria are changed, to AVS for review prior to order placement by Procurement.
	17.	VERIFY that any changes, made as a result of proposal/bid evaluation or pre-contract negotiation, are incorporated into the procurement documents.
Contract Specialist	18.	REQUIRE an evaluation of these changes and the resulting impact is completed by the appropriate organization before the contract is awarded. The evaluation shall address: • The specified requirements. • Additional or modified design criteria. • Any exceptions or changes requested by suppliers, determining the impact such changes have on the intent of the procurement documents or quality of the item or service to be furnished.
	19.	WHEN post-installation testing is used for acceptance, CONFIRM that the post-installation test requirements and acceptance documentation is mutually established between the buyer and supplier and that the testing is required to be performed in accordance with CPCC-PRO-EN-286, Testing of Equipment and Systems.

Actionee	*Step*	*Action*
Contract Specialist	20.	PLACE the order with a supplier who has been selected based on capability to provide items or services. • WHEN required by the procurement documents, AWARD QL-1/SC and QL-2/SS contracts only to a supplier on the HMIS ESL who has been evaluated and approved for the quality criteria specified in the procurement.
	21.	TRANSMIT to the supplier any documentation required by the procurement and acquisition document (e.g., drawing, specification, suspect/counterfeit head mark list).
	22.	VERIFY the supplier meets the contractual requirements.
SE/DA/TA/ Quality Assurance Engineer (QAE)/ Inspector (QAE/I)	23.	REVIEW AND APPROVE the supplier's fabrication, inspection, test plan, and other required submittals in accordance with CPCC-PRO-AC-16405, Submittal Management System.
SE/DA/TA	24.	IF a supplier is required to submit a QAP for QL-3 items or services, THEN REQUIRE this submittal to be reviewed and approved by the responsible QA organization.
	25.	IF a QAP is required for QL-3 procurements THEN VERIFY that a Contractor Oversight Plan is initiated in accordance with CPCC-PRO-MS-40213, Contractor Oversight.

NOTE: *The Contractor Oversight Plan must provide provisions for monitoring the contractor's performance to the QAP submitted.*

QAE/I	26.	REVIEW the Contractor Oversight Plan AND ENSURE adequate provisions (e.g., surveillances, submittals, inspections) are provided to monitor the contractor's performance to the QAP submitted.
	27.	REVIEW the supplier's QAP for QL-3 items or service AND VERIFY that it meets the QA requirements specified by the purchase documents.
Contract Specialist	28.	TRANSMIT a copy of supplier submitted nonconformance with a proposed disposition of "use-as-is" or "repair" to the SE/DA/TA and QAE/I Representative in accordance with CPCC-PRO-QA-298, Nonconforming Items.

3.2 Preparation of Quality Assurance Inspection Plans

Actionee	*Step*	*Action*
SE/DA/TA, and Project or Services QAE/I	1.	In conjunction with the preparation, review, and issue of procurement and acquisition documents, PREPARE Site Form A-6004-831 for non-procurement material, r HMIS A-6700-119.1 (latest revision) for procurement material, and/or surveillance checklists or plans. a. INCLUDE the following, as applicable: • Item title, or on-line-item description. • Note if sampling is applicable, state the standard to be used. • QAIP inspection requirements (Site Form A-6004-831 latest revision) • CGI procurement/dedication requirements. • Supplier monitoring requirements. • Safety classification and QL in accordance with CPCC-PRO-NS-700, *Safety Basis Development*, and CPCC-PRO-QA-259.
SE/DA/TA, QAE/I	2.	ATTACH the QAIP for POs to the Asset Suite Master Materials catalog (panel TIMD205-Special Instructions). a. ATTACH the QAIP for contract order (CO) to the Asset Suite comm. log. The SE/DA/TA and the QAE/I names and dates of approval shall be included in block 2 of the QAIP. b. IF the QAIP is not attached in Asset Suite, after award of the PO or CO, THEN SEND the QAIP to AVS. The QAIP shall include the printed name and signature or digital signature of the SE/DA/TA and QAE/I, and the date they approved the QAIP in block 2.

3.3 Source Verification

Actionee	*Step*	*Action*
SE/DA/TA	1.	DETERMINE the need and criteria for source verification AND DOCUMENT in the procurement/acquisition document (e.g., material request, work package, SOW).

NOTE:
- *Source verification is performed at the Supplier's facility in accordance with a Surveillance/Audit checklist, plan, or QAIP that includes or addresses the following:*
  - *Identification of the item(s) or service(s) included within the scope of the source verification,*
  - *Identification of the critical characteristics, including acceptance criteria, to be controlled by the Supplier,*
  - *Verification that the Supplier's processes and controls are effectively implemented for the identified critical characteristics,*
  - *Identification of the activities witnessed during the source verification and the results obtained, and*
  - *Documentation of the adequacy of the Supplier's processes and controls*.

Personnel performing inspections are qualified and certified in accordance with HMIS-PRO-QA-263, Qualification and Certification of QA/QC Inspection and Test Personnel.

	2.	IF AVS is to perform source verification activities, THEN ISSUE a Request for Offsite Quality Services (Site Form A-6004-884) to AVS five (5) working days prior to the inspection date, when possible.
Contract Specialist	3.	NOTIFY AVS and the QAE/I Representative(s) when inspection point(s) are scheduled.
QAE/I [AVS]	4.	DOCUMENT results including discrepancies on Source Verification Activities Report form(s) (Site Form A-6004-435) AND DISTRIBUTE final reports as a minimum to the Contract Specialist, SE/DA/TA, and Project or Services QA Representative as identified in Asset Suite.
Contract Specialist	5.	IF discrepancies are identified, THEN OBTAIN corrective action commitment(s) from the supplier. • For OCRWM, when the supplier meets the acceptance criteria for OCRWM orders, PROVIDE documented evidence of acceptance of source verified items or services.
SE/DA/TA	6.	SUBMIT the Commercial Grade Dedication Package in accordance with CPCC-PRO-EN-40189, Commercial Grade Dedication Process, using Site Form A-6005-692, Commercial Grade Dedication Package.

Actionee	*Step*	*Action*
NOTE:	•	*AVS places source verification procurement documentation in applicable PO/CO number package.*
	•	*The printed copy of the approved and authorized Asset Suite material request or contract requisition is the record copy.*

3.4 Upgrade Process

The upgrade process is an exception in the procurement/acquisition process that allows, under the controlled conditions specified below, the upgrade of an item. The upgrade process is not used to circumvent the normal procurement/acquisition process. Instead, the upgrade process is used for specific situations where an item is procured as a lower QL and is needed to support a higher classified facility system, or it is replacing plant equipment that is no longer manufactured in the configuration/envelope required by the plant system/equipment.

This process is NOT to be used for OCRWM-related items.

Actionee	*Step*	*Action*
SE/DA/TA / Quality Assurance Engineer (QAE)	1.	DETERMINE the required inspection attributes to be verified.
		a. ENSURE the upgraded item meets the requirements of CPCC-RD-EN-1819, Engineering Requirements, and this procedure. As a minimum, this includes the following conditions are met:
		• For manufactured items, there is traceability from the item to the vendor/manufacturer's part/catalogue number so its specification can be confirmed as meeting the design requirements.
		• For items fabricated for CPCCo, there is traceability to the original procurement/acquisition specifications so it can be confirmed the fabricated item meets the design requirements.
		• For raw material, there is traceability to the test reports.
		• There is documented verification the item to be used is the same as specified by design in terms of critical characteristics and acceptance criteria.
		• Any tests specified by the design for acceptance are conducted and documented
	2.	DETERMINE the method of documenting the upgrade.

Actionee	*Step*	*Action*

SE/DA/TA / Quality Assurance Engineer (QAE)	3.	INCLUDE the following documentation as a minimum:
		• Background information
		  ○ How the items were procured QL-3 or QL-0 (Catalog Commercial), if available.
		  ○ How have they been stored since original receipt, if available.
		  ○ Drawing requirement, if applicable.
		• Listing of items to be upgraded.
		• Reference to the original purchase documentation (as applicable).
		• Technical justification for use (only for QL-1 & QL-2 material).
		• Attributes to be inspected/verified with acceptance criteria.

NOTE: *Personnel performing inspections are qualified and certified in accordance with HMIS-PRO-QA-263.*		
QAE/I Inspector	4.	PERFORM the required inspections. • This step must be performed by someone other than the QAE/I who generated the upgrade.
	5.	ENTER the results on the documentation provided.
Quality Systems Manager and Project Engineering Manager	6.	APPROVE the upgrade for QL-1 & QL-2 items only. • The approval of the Quality Systems Manager and Project Engineering Manager may not be delegated except during the absence of the named principals.
NOTE: Appendix A stipulates the definitions of minor, editorial, and major changes to procurement and acquisition documents.		
SE/DA/TA	7.	ENSURE that any changes in a specified QL and item classification are reflected in the appropriate documents. Any changes are subject to the same degree of control as used in the preparation of the original documents. • Include the upgrade documentation in the applicable work package that will utilize the upgraded item.

3.5 Supplier Monitoring

Actionee	*Step*	*Action*
NOTE: AVS issues supplier performance reports via correspondence annually.		
Contract Specialist, QAE/I, and SE/DA/TA Requestor	1.	WHEN requested by AVS, PROVIDE information on ESL supplier performance by completing one of the following, as applicable (these are non-record forms): • Supplier Quality Performance Evaluation - Buyer/ Acquisitions POC (Site Form A-6004-889 [or A-6002-855]) • Supplier Quality Performance Evaluation Source - Verifier/QAE (Site Form A-6004-888 [or A-6002-854]) • Supplier Quality Performance Evaluation - Engineer/Requestor (Site Form A-6004-887 [or A-6002-853])
	2.	PROVIDE the applicable form and copies of applicable documentation (surveillance, Corrective Action Report [CAR], Procurement-related NCRs, Stop Work Notices, etc.) to AVS.

3.6 Commercial Grade Survey

Actionee	*Step*	*Action*
SE/DA/TA	1.	DETERMINE the need and criteria for Commercial Grade Survey AND DOCUMENT in the procurement/acquisition document (e.g., material request, work package, SOW).

NOTE:
- *A commercial grade survey is performed at the supplier's facility in accordance with a Surveillance/Audit checklist, plan, or QAIP that includes or addresses the following:*
  - *Identification of the item(s), or product line, or service included within the scope of the survey.*
  - *Identification of the critical characteristics to be controlled by the supplier.*
  - *Verification of the supplier's processes and quality program controls are effectively implemented for control of the critical characteristics.*
  - *Identification of the survey methods or verification activities performed with results obtained.*
  - *Documentation of the adequacy of the supplier's processes and controls.*
- *Personnel performing inspections are qualified and certified in accordance with HMIS-PRO-QA-263.*

2. IF AVS is to perform Commercial Grade Survey activities, THEN ISSUE Site Form A-6004-884 to AVS five (5) working days prior to the inspection date, when possible.

Actionee	*Step*	*Action*
QAE/I [AVS]	3.	DOCUMENT results including discrepancies on Source Verification Activities Report form(s) (Site Form A-6004-435) AND DISTRIBUTE final report(s) as a minimum to the Contract Specialist, SE/DA/TA, and Project or Services QA Representative as identified in Asset Suite.
Contract Specialist	4.	IF discrepancies are identified, THEN OBTAIN corrective action commitment(s) from the supplier.

NOTE: *AVS places Commercial Grade Survey documentation in applicable PO/CO number package.*

SE/DA/TA	5.	SUBMIT the CGD Package in accordance with CPCC-PRO-EN-40189, using Site Form A-6005-692, Commercial Grade Dedication Package.

3.7 CPCCo ESL Services

Actionee	*Step*	*Action*
Projects/ Services/ Environmental QA Manager	1.	INITIATE the appropriate request form to place contractors who provide QL-1 or -2 services on the Hanford ESL.

NOTE: The Hanford ESL is managed by HMIS in accordance with HMIS-PRO-QA-3144, Supplier Quality Assurance Program Evaluation.

3.8 Requests for New or Revised QA Clauses

The following process shall be used to request a new QA Clause or a revision to an existing QA Clause:

Actionee	*Step*	*Action*
Requester	1.	DEVELOP draft of new or revised QA Clause AND TRANSMIT to the Manager of AVS to review.

NOTE:
- *AVS resolves any comments and recommendations with the requester and OHC, and issues the proposed final draft new or revised QA Clause for review.*
- *The AVS Manager resolves any outstanding comments and, if necessary, convenes a meeting with all reviewers to obtain their concurrence. The new or revised QA Clause is incorporated into the HMIS QA Clause list, and the revised QA Clause list is published on the AVS Website.*
- *The AVS Manager transmits notification to CPCCo, WRPS, and HMIS Procurement personnel that a new or revised QA Clause has been published.*

QAE/I	2.	REVIEW the proposed new QA Clause or revision AND TRANSMIT comments and concurrence back to the AVS Manager for resolution and processing.

3.9 Component Recovery and Reutilization

The recovery and reutilization process is an exception in the procurement/acquisition process which allows, under the controlled conditions specified below, the recovery and reuse of existing components from systems/components no longer in use within a facility. The recovery and reutilization process is not used to circumvent the normal procurement/acquisition process. Instead, the recovery and reutilization process is used for specific situations where an item that is no longer in use may be needed as a spare or replacement for a similar function elsewhere within a facility.

This process is NOT to be used for OCRWM-related items.

3.9.1 Recovery

Actionee	*Step*	*Action*
SE/DA/TA	1.	IDENTIFY the items/components to be recovered.
	2.	DETERMINE the required inspection attributes to be verified.
	3.	PREPARE a work package for the removal and inspection of the components and items in accordance with CPCC-PRO-WKM-12115, *Work Management*.
NOTE: *Personnel performing inspections are qualified and certified in accordance with HMIS-PRO-QA-263.*		
QAE/I Inspector	4.	PERFORM inspection of items and components per the instructions identified AND TAG items and components in accordance with CPCC-PRO-QA-297, *Inspection, Test, and Operating Status*.
	5.	IF recovered items and components are to be reutilized immediately, THEN PROCEED to Step 3.10.2.
SE/DA/TA	6.	SET-UP recovered items/components as spare parts in accordance with Section 3.1 of CPCC-PRO-EN-129, *Controlling Spare Parts Inventory.*

3.9.2 Reutilization

Actionee	*Step*	*Action*
Quality Systems Manager and Project Engineering Manager	1.	IF the QL of the item or component to be reutilized is lower than its intended use, THEN USE the upgrade process per Section 3.5 of this procedure.
	2.	ENSURE the item to be reutilized meets the requirements of CPCC-RD-EN-1819 and this procedure. As a minimum, this includes the following condition: • Any tests specified by the design for acceptance are conducted and documented.
	3.	DETERMINE the method of documenting the reutilization.
	4.	As a minimum the documentation must include the following: • Purpose of the reutilization. • Background information. o How the items were recovered. o Original QL of the recovered item. o How have they been stored since recovery. o Drawing requirement, if applicable. • Listing of items to be reutilized. • Technical justification for use. • Attributes to be inspected/verified with acceptance criteria.
NOTE: *Personnel performing inspections are qualified and certified in accordance with HMIS-PRO-QA-263.*		
QAE/I Inspector	5.	PERFORM the required inspections.
	6.	ENTER the results on the documentation provided.
Quality Systems Manager and Project Engineering Manager	7.	APPROVE the reutilization. • The approval of the Quality Systems Manager and Project Engineering Manager may not be delegated except during the absence of the named principals.

4.0 FORMS

NOTE: *Sitte Forms that are substantially equivalent to those cited may be used..*

A-6700-119.1, Quality Assurance Inspection Plan
A-6004-832, Quality Assurance Requirements
A-6004-435, Source Verification Activities Report
A-6004-884, Request for Offsite Quality Services
A-6004-885, CPCCo Request for Pre-Award Evaluation
A-6004-887, Supplier Quality Performance Evaluation - Engineer/Requestor (or A-6002-853)
A-6004-888, Supplier Quality Performance Evaluation - Source Verifier/QAE (or A-6002-854)
A-6004-889, Supplier Quality Performance Evaluation - Buyer/Acquisitions POC (or A-6002-855)
A-6005-692, *Commercial Grade Dedication Package*

5.0 RECORD IDENTIFICATION

All records are generated, processed, and maintained in accordance with CPCC-PRO-IRM-10588, *Records Management Processes*.

Records created during the performance of OCRWM activities shall be managed and additionally submitted to the OCRWM Records Coordinator in accordance with CPCC-PRO-QA-19579, *OCRWM Records Management*.

Records Capture Table

Name of Record	Submittal Responsibility	Retention Responsibility*
Receiving Inspection Package – May include but is not limited to the following: Purchase Order/Contractor Order, Inspection Plan, Asset Suite Screenshots, Tests Reports/Certifications, Parts and Tools Return, Trip Report, Packing Slip, Catalog Cuts, Drawings/ECNs, Nonconformance Reports (NCRs), and emails.	AVS	IRM Service Provider
Receiving Inspection Package (OCRWM) – May include but is not limited to the following: Purchase Order/Contractor Order, Inspection Plan, Asset Suite Screenshots, Tests Reports/Certifications, Parts and Tools Return, Trip Report, Packing Slip, Catalog Cuts, Drawings/ECNs, Nonconformance Reports (NCRs), and emails.	AVS and CPCCo	OCRWM Records Coordinator

6.0 SOURCES

6.1 Requirements

CPCC-MP-QA-599, Quality Assurance Program

DOE/RW-0333P, U.S. Department of Energy Office of Civilian Radioactive Waste Management (OCRWM), Quality Assurance Requirements and Description

6.2 References

CPCC-GD-AC-54714, Material Returns

CPCC-PRO-AC-16405, *Submittal Management System*

CPCC-PRO-EN-129*, Controlling Spare Parts Inventory*

CPCC-PRO-EN-286, *Testing of Equipment and Systems*

CPCC-PRO-EN-40189, Commercial Grade Dedication Process

CPCC-PRO-IRM-10588, *Records Management Processes*

CPCC-PRO-MS-40213, *Contractor Oversight*

CPCC-PRO-NS-700, *Safety Basis Development*

CPCC-PRO-QA-259*, Graded Approach*

CPCC-PRO-QA-297*, Inspection, Test, and Operating Status*

CPCC-PRO-QA-298*, Nonconforming Items*

CPCC-PRO-QA-19579, *OCRWM Records Management*

CPCC-PRO-WKM-12115*, Work Management*

CPCC-RD-EN-1819*, Engineering Requirements*

CPCC-RD-IRM-8310, *Document Control Processes*

HMIS-PRO-QA-263, *Qualification and Certification of QA/QC Inspection and Test Personnel*

HMIS-PRO-QA-268, Control of Purchased/Acquired Items and Services

HMIS-PRO-QA-3144*, Supplier Quality Assurance Program Evaluation*

HMIS-PRO-RM-10588, Records Management Processes

HMIS-PRO-RM-32281, Electronic Records Management

Appendix A - Definition of Minor and Editorial Change: Applicable to Procurement and Acquisition Documents

Change: Refers to any words describing, e.g., modification, exception, addition, deletion, new, revise, clarification, or other alteration, major, or minor including editorial to a document or appendices, attachments, instructions, drawings, calculations, numbers, etc.

Minor and Editorial: Are defined as synonymous with and specified as Inconsequential Editorial Change.

An editorial change to a document includes only the following changes.

1. Correct grammatical, typographical, or spelling errors.
2. Update position or organization names or titles.
3. Changing the title or number of the document, phrases, sentences, and paragraphs, and changing punctuation without changing the meaning. (Adding or deleting material is **Not** an editorial change.)
4. Change the format of the document (for example, rearrange unnumbered lists of items, rescale items, move details to new sheets, pagination, table, or figure title number changes, etc.).
5. Renumbering sections or attachments that do not affect the chronological sequence of the work.
6. Add/update document references (provided changes to the references have already been appropriately USQ reviewed).
7. Change level 1 and 2 requirement tables that are taken from referenced requirement sources where the technical requirements are equivalent (i.e., CRD O XXX.1A to CRD O XXX.1B).
8. Add, change, delete, or clarify notes or cautions that do not direct personnel actions.
9. Document the completion of a periodic review when no change to the procedure is required.

AND

Do **Not**:

1. Change the meaning, overall scope, or purpose of the existing document or drawings
2. Create a new procedure, document, or drawing
3. Change the usage type of the procedure
4. Change a TSR or its bases, or other described operational controls or restrictions.

Editorial changes may be made to procurement and acquisition documents up to a specified number identified in the procedure (i.e., < 10), after which revision with full review and approval is required. The persons authorized to make decisions about document reviews shall be delineated in the procedures as, e.g., the cognizant Engineering DA with the QAE (for QL-1, 2, and 3). (See NQA-1, Req 6, 302.).

Appendix A - (Cont.)

Major Change: Is defined as a change that does **NOT** meet the criteria for a minor - Inconsequential Editorial Change.

(Note: CPCC-PRO-NS-062 categorical exclusions may identify types of documents that are subject to review processes that if documented may reduce the need to apply these restrictions.)

(Additional information may be found in Ref.: QA-599; NQA-1; NS-062 App C; IRM-8310 App A; EN-8610)

References (text need not be included in procedures):

NQA-1-2008, Requirement 6 Document Control, 301 Major Changes: Changes to documents, other than those defined as minor changes, are considered major changes, and shall be reviewed and approved by the same organizations that performed the original review and approval unless other organizations are specifically designated. The reviewing organization shall have access to pertinent background data or information upon which to base their approval.

NQA-1-2008, Requirement 6 Document Control, 302 Minor Changes: Minor changes to documents, such as inconsequential editorial corrections, shall not require that the revised documents receive the same review and approval as the original documents. To avoid a possible omission of a required review, the type of minor changes that do not require such a review and approval and the persons who can authorize such a decision shall be clearly delineated.

NQA-1a-2009, Requirement 7, 400, Control of Supplier-Generated Documents: Controls shall be implemented to ensure that the submittal and evaluation of Supplier-generated documents and changes are accomplished in accordance with the procurement document requirements. These controls shall provide for the acquisition, processing, and recorded evaluation of the quality assurance, technical, inspection, and test documentation or data against acceptance criteria.

Appendix B - AVS Receiving Inspection

- The Overage, Shortage, Damaged and Defective (OSD&D) process (CPCC-GD-AC-54714, Material Returns) is used to report obvious damage, incorrect quantity, or improperly packaged item concerns to the Contract Specialist.
- When material or items are sent directly to the field prior to receipt inspection, it is the projects responsibility to control the material and items to prevent their inadvertent installation or use, consistent with HMIS-PRO-QA-268, Control of Purchased/Acquired Items and Services, until AVS receiving inspection activities are completed.
- Personnel performing inspections are qualified and certified in accordance with HMIS-PRO-QA-263.
- AVS receiving inspection activities are performed in accordance with HMIS-PRO-QA-268.
- When a nonconformance is identified, AVS initiates, validates, status tags, and closes CPCCo nonconformance reports (NCR) in accordance with CPCC-PRO-QA-298 for nonconforming items and associated documentation. This includes damaged and improperly packaged items discovered during the inspection.
- The CPCCo QAE/I Representative coordinates disposition of the NCR and its return to AVS for processing.
- Application of the Envelope - Conditional Acceptance (BE-6002-182) as needed.
- AVS places receiving inspection packages in applicable PO/CO number package.
- AVS prepares and transmits the completed Receiving Inspection Package, a lifetime record, to records storage in accordance with HMIS-PRO-RM-10588, Records Management Processes, and HMIS-PRO-RM-32281, Electronic Records Management. The printed copy of the approved and authorized Asset Suite material request or contract requisition is the record copy.