

## PROCUREMENT

### 1.0 Objective

The objective of this surveillance is to evaluate the effectiveness of the laboratory's procurement program. The Facility Representative or Environmental, Safety, and Health Support Specialist evaluates the preparation of procurement documents, qualification of bidders, receipt inspection of purchased equipment, and maintenance of vendor performance history. In addition to evaluating the performance of the laboratory, the Facility Representative or Environmental, Safety, and Health Support Specialist also examines compliance with specific DOE requirements.

### 2.0 References

- 2.1 DOE 5700.6C, *Quality Assurance*
- 2.2 10 CFR Part 50, Appendix B, *Quality Assurance Criteria for Nuclear Power Plants and Fuel Reprocessing Plants*
- 2.3 10 CFR 830.120, *Quality Assurance Requirements for DOE Nuclear Facilities*
- 2.4 NQA-1-1989, *Quality Assurance Program Requirements for Nuclear Facilities*
- 2.5 ANSI/ASME N45.2.13, *Quality Assurance Requirements for Control of Procurement of Items and Services for Nuclear Power Plants*

### 3.0 Surveillance Activities

The Facility Representative or Environmental, Safety, and Health Support Specialist completes the following activities in performing this surveillance:

1. Review procurement documents that have been prepared and issued to vendors for bids, or to procure components or materials that may be used in safety-related or important-to-safety applications.
2. Review records associated with receipt inspection or acceptance testing conducted for materials that may be used in safety-related or important-to-safety applications.
3. Observe receipt inspection for materials that may be used in safety-related or important-to-safety applications.
4. Examine performance history for a vendor.

**Surveillance Guideline  
PROCUREMENT**

Surveillance No.: \_\_\_\_\_

Facility: \_\_\_\_\_

Date Completed: \_\_\_\_\_

YES      NO      N/A

**Activity One -      Review Procurement Documents**

- |    |                                                                                                                                                                                                                                               |       |       |       |
|----|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------|-------|-------|
| 1. | Do procurement documents specify essential performance requirements and tolerances or acceptance criteria in accordance with the applicable design documents?                                                                                 | _____ | _____ | _____ |
| 2. | Do procurement documents identify all required information such as applicable codes and standards, required tests, fabrication hold points, required materials, and requirements for contractor and subcontractor quality assurance programs? | _____ | _____ | _____ |
| 3. | Do procurement documents require vendors to have and implement an effective quality assurance program?                                                                                                                                        | _____ | _____ | _____ |
| 4. | Are procurement documents subjected to independent technical review before issuance to bidders?                                                                                                                                               | _____ | _____ | _____ |
| 5. | Were independent technical reviews performed for changes to procurement documents?                                                                                                                                                            | _____ | _____ | _____ |
| 6. | Were vendors who received the procurement documents selected from an approved vendor list?                                                                                                                                                    | _____ | _____ | _____ |
| 7. | Were vendors who received the procurement documents audited or otherwise evaluated to ensure that only qualified vendors were selected?                                                                                                       | _____ | _____ | _____ |

**Surveillance Guideline  
 PROCUREMENT (cont.)**

YES    NO    N/A

**Activity Two -            Review Records Associated with Receipt Inspection or Acceptance Testing**

- |     |                                                                                                                                                                                                 |       |       |       |
|-----|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------|-------|-------|
| 8.  | Do records adequately document that receipt inspections or acceptance tests demonstrated that procured equipment would satisfy performance requirements contained in the procurement documents? | _____ | _____ | _____ |
| 9.  | Did personnel who performed the receipt inspections or acceptance tests have the required training and qualification to fulfill these responsibilities?                                         | _____ | _____ | _____ |
| 10. | Do receipt inspection or acceptance test documentation detail how key performance requirements were verified?                                                                                   | _____ | _____ | _____ |
| 11. | Before procured items are placed in service, is compliance with performance requirements and acceptance criteria verified?                                                                      | _____ | _____ | _____ |

**Activity Three -            Observe Receipt Inspections**

- |     |                                                                                                                                         |       |       |       |
|-----|-----------------------------------------------------------------------------------------------------------------------------------------|-------|-------|-------|
| 12. | Do personnel performing receipt inspections follow a written checklist or procedure?                                                    | _____ | _____ | _____ |
| 13. | Does the written checklist or procedure identify the performance requirements that must be verified based on the procurement documents? | _____ | _____ | _____ |
| 14. | Do personnel performing the receipt inspection examine both the component or material as well as documentation provided by the vendor?  | _____ | _____ | _____ |
| 15. | Are results from the receipt inspection documented?                                                                                     | _____ | _____ | _____ |
| 16. | Do personnel performing the receipt inspection have the required training and qualifications for this duty?                             | _____ | _____ | _____ |

**Surveillance Guideline  
PROCUREMENT (cont.)**

YES      NO      N/A

**Activity Four -      Examine Performance History for a Vendor**

- |     |                                                                                                                            |       |       |       |
|-----|----------------------------------------------------------------------------------------------------------------------------|-------|-------|-------|
| 17. | Are records maintained regarding performance of components, equipment, or materials by vendor?                             | _____ | _____ | _____ |
| 18. | Select a component that has failed in service. Was a root cause analysis performed to determine the causes of the failure? | _____ | _____ | _____ |
| 19. | If the failure was not attributable to some other cause, was it recorded as a failure for the original component vendor?   | _____ | _____ | _____ |
| 20. | Is information on failures of components from specific manufacturers readily retrievable?                                  | _____ | _____ | _____ |

OTHER:

	_____	_____	_____
	_____	_____	_____
	_____	_____	_____
	_____	_____	_____
	_____	_____	_____
	_____	_____	_____
	_____	_____	_____
	_____	_____	_____

**Surveillance Guideline  
PROCUREMENT (cont.)**

NOTES/COMMENTS:

---

---

---

---

---

---

---

---

PERSONNEL CONTACTED: \_\_\_\_\_

---

---

---

---

**IF MORE SPACE IS NEEDED FOR FINDINGS, OBSERVATIONS, AND FOLLOWUP  
ITEMS - USE ADDITIONAL SHEETS**

FINDINGS:

Finding No.: \_\_\_\_\_

Description: \_\_\_\_\_

---

---

---

**Surveillance Guideline**  
**PROCUREMENT (cont.)**

Finding No.: \_\_\_\_\_

Description: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Finding No.: \_\_\_\_\_

Description: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**OBSERVATIONS:**

Observation No.: \_\_\_\_\_

Description: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Surveillance Guideline**  
**PROCUREMENT (cont.)**

Observation No.: \_\_\_\_\_

Description: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Observation No.: \_\_\_\_\_

Description: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**FOLLOWUP ITEMS:**

Followup Item No.: \_\_\_\_\_

Description: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**Surveillance Guideline**  
**PROCUREMENT (cont.)**

Followup Item No.: \_\_\_\_\_

Description: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Followup Item No.: \_\_\_\_\_

Description: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

LABORATORY MANAGEMENT DEBRIEFED AND RESULTS: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Facility Representative or  
Environmental, Safety, and Health Support Specialist