

# WP 13-QA3012

Revision 16

## Supplier Evaluation/Qualification

Management Control Procedure

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APPROVED FOR USE

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**INTRODUCTION** <sup>1, 2, 3, 4</sup>

This procedure establishes the requirements used to identify, evaluate, approve, and maintain suppliers on the Washington TRU Solutions LLC (WTS) Qualified Suppliers List (QSL).

This procedure applies to items and services in support of Quality Level 1 and 2 activities as determined through the application of WP 13-QA3005. The determination of whether a QSL Request initiation is required shall be made in accordance with WP 13-QA3005, with the exception of the Central Characterization Project (CCP), which shall use CCP-QP-001.

Upon determination by the Quality Assurance (QA) Department that a potential supplier is required to be on the QSL, the supplier shall be evaluated based on the following:

- Verification of need for specific items and/or services of supplier
- Evaluation of the supplier's history, capabilities, QA program documentation, and past performance with providing an identical or similar product that performs satisfactorily in actual use
- Ability of supplier to meet the predefined/selected quality requirements described in documents such as the Statement of Work (SOW), Graded Approach determination, drawings, specifications, or imposed by the contract or Purchase Requisition (PR)
- End use of the product and/or service

QA requirements are identified and described in preplanning activities (e.g., SOW, Graded Approach documentation, drawings, specifications, and PRs/Purchase Orders [POs]), and as required, shall be approved by QA prior to authorizing work activities.

Four to six weeks should be allowed for completion of the QSL evaluation or audit process.

Performance of this procedure generates the following records:

- QSL Request (EA13QA3012-1-0)
- Supplier Quality Questionnaire (EA13QA3012-2-0)
- Supplier Evaluation/QSL Update Request (EA13QA3012-3-0)
- Qualified Supplier Annual Evaluation (EA13QA3012-4-0)
- Supplier Scorecard (EA13QA3012-6-0)

- Supplier desktop evaluation and associated support documentation (e.g., QA program documentation, history of providing similar items/services, etc.)
- Technical justification and associated support documentation (e.g., Operations and Maintenance [O&M] manuals, cut sheets, etc.)
- Registrations and/or certifications from recognized national and international standards organizations
- Third-party audit documentation
- Correspondence and associated documentation

## REFERENCES

### BASELINE DOCUMENTS

- WP 13-1, Washington TRU Solutions LLC Quality Assurance Program Description

### REFERENCED DOCUMENTS

- WP 13-QA.04, Quality Assurance Department Administrative Program
- WP 13-QA3005, Graded Approach to Application of QA Controls
- WP 15-PC3609, Preparation of Purchase Requisitions
- CCP-QP-001, CCP Graded Approach
- EA13QA3012-1-0, QSL Request
- EA13QA3012-2-0, Supplier Quality Questionnaire
- EA13QA3012-3-0, Supplier Evaluation/QSL Update Request
- EA13QA3012-4-0, Qualified Supplier Annual Evaluation
- EA13QA3012-6-0, Supplier Scorecard

**PERFORMANCE**

1.0 RESPONSIBILITIES

1.1 QA Management, perform the following:

- Designate a QSL Coordinator and Alternate QSL Coordinator.
- Approve EA13QA3012-1-0, EA13QA3012-3-0, and EA13QA3012-6-0.
- Assign QA personnel to support QSL activities.
- Approve all documentation relating to the supplier evaluation process as described in this procedure.
- Approve external/supplier audit activities.
- Assign qualified Lead Auditors to perform QSL vendor qualifications and annual evaluations, as appropriate.

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**NOTE**

In the absence of the QSL Coordinator, the Alternate QSL Coordinator shall be given the appropriate computer permissions to modify the QSL database.

The QSL is an SQL database with a Microsoft Access interface that can be viewed through a link on the Requisitioner's Toolbox.

The QSL Coordinator or Alternate QSL Coordinator (when QSL Coordinator is not available) will perform Steps 1.2 and 1.3.

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1.2 Maintain the QSL database at all times. As changes are made to the status of a QSL supplier, the electronic database shall be updated as follows to ensure that Procurement Services, requisitioners, and QA personnel are working with up-to-date information:

- Name and status (e.g., active or inactive) of the supplier
- Qualified Suppliers List Request (QSLR) number
- Supplier's street address, city, state, and zip code
- Supplier's QA contact, phone number, and fax number
- Product/service the supplier is qualified to provide
- Basis for supplier's QA program

- Supplier's QA program title, revision, and date
- Basis for qualification (supplier audit, supplier desktop evaluation)
- Date of initial qualification, date and type of last audit or evaluation, Cognizant Lead Auditor, and expiration date
- Procurement restrictions/limitations imposed and pertinent comments<sup>7</sup>

**NOTE**

QSL Coordinator or Alternate QSL Coordinator is responsible for the maintenance of QSL supplier files. QSL supplier files may contain the following information:

- EA13QA3012-1-0
- Associated PR/PO, SOW, Graded Approach determination documentation
- Technical justification formal correspondence and associated documentation
- EA13QA3012-2-0, where applicable
- Supplier desktop evaluation formal correspondence and associated documentation
- EA13QA3012-3-0
- EA13QA3012-4-0
- Supplier's QA program documentation
- EA13QA3012-6-0
- Hard copy of the QSL database information
- Supplier certifications
- Supplier's audit documentation when completed by a company other than WTS
- All correspondence documentation between the supplier and WTS

1.3 Maintain the QSL supplier files and associated documentation at all times. As changes are made to the status of a QSL supplier, the QSL supplier files shall be updated as follows to ensure that Procurement Services, requisitioners, and QA personnel are working with up-to-date information:

- Store each QSL active supplier's documentation in a binder(s), filed by facility name and organized in a manner so documentation can be easily retrieved and reviewed. Inactive suppliers' documentation may be otherwise appropriately maintained.
- Store active QSL supplier binders in the fireproof file cabinets.

- Print a hard copy of the supplier information to be included in the supplier's QSL file each time a change is made to a supplier's information in the QSL database.
- Contact potential suppliers and retrieve supplier documentation such as QA program documentation, certifications and registrations, and internal audit documentation.
- Verify and process supplier audit/evaluation documentation.
- Assign QSLR numbers to forms, as appropriate.
- Ensure that EA13QA3012-2-0, EA13QA3012-3-0, EA13QA3012-4-0, and EA13QA3012-6-0 information is entered into the QSL database, as appropriate.
- Initiate the supplier's annual evaluation by monthly review of the QSL database.
- Cancel and process rejected EA13QA3012-1-0 forms.

1.4 QA Lead Auditor, perform the following:

- Perform supplier audits, desktop evaluations, and annual evaluations.
- Determine the methods to be employed in the supplier qualification/evaluation process in accordance with applicable Waste Isolation Pilot Plant (WIPP) procedures.
- Maintain Lead Auditor qualification per WP 13-QA.04.

2.0 SUPPLIER QUALIFICATION

**NOTE**

Prior to a supplier being included on the WTS QSL and being placed in the QSL database or inactive supplier being reactivated, an audit or evaluation shall be performed and documented.

WTS suppliers shall be qualified by facility location. Qualifications may vary if a supplier has multiple facilities, except as noted in the QSL documentation. The facility must be qualified to perform the required scope of work before using that facility.

Supplier qualifications shall be valid for a period of one year, at which time an annual evaluation, which may include an audit, shall be performed to determine the need for retention of a supplier on the QSL. If an evaluation of a supplier takes place prior to the regularly scheduled annual evaluation, qualification shall be valid for a period of one year from the date the evaluation takes place.

2.1 Supplier Qualification Extension

**NOTE**

The supplier's qualification may be extended for three months provided there are no significant adverse quality problems with the supplier's items or services. Extensions are granted at the discretion of QA Management and shall be retained in the supplier's QSL file.

- 2.1.1 Lead Auditor, if a supplier's annual evaluation cannot be completed prior to the published expiration date, request a three-month extension of qualification, by completing EA13QA3012-3-0.
- 2.1.2 Lead Auditor, submit request to QA Management for review and approval.
- 2.1.3 QA Management, after review and approval, forward request to QSL Coordinator for processing.
- 2.1.4 QSL Coordinator, process upon receipt.
- 2.1.5 If QA Management does not approve, forward request to QSL Coordinator for processing.
- 2.1.6 QSL Coordinator, notify Lead Auditor then **GO TO** Step 4.1.2.

### 3.0 INITIATING SUPPLIER AUDIT, SUPPLIER DESKTOP EVALUATION, AND SCOPE EXPANSION

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#### **NOTE**

Initial qualification of a supplier shall be accomplished by performance of a supplier audit or supplier desktop evaluation as described in Step 3.24 of this procedure.

If a modification needs to be made to an in-process QSLR after submission to the QSL Coordinator and issuance of a QSLR number, the in-process QSLR shall be revised.

The Requisitioner shall perform Steps 3.1 through 3.9.

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- 3.1 Determine the need to generate an initial QSLR or revise an in-process QSLR.
- 3.2 For initial QSLRs, using the QSL database, determine if the preferred supplier is currently on the WTS QSL and qualified to perform the required scope of work. If **YES**, **GO TO** WP 15-PC3609, if **NO**, **GO TO** Step 3.3.
- 3.3 Determine if there is an alternate supplier on the WTS QSL qualified to perform the required scope of work or product/service. If **YES**, **GO TO** WP 15-PC3609, if **NO**, **GO TO** Step 3.4.
- 3.4 Determine if there is an inactive supplier on the WTS QSL that is qualified to perform the required scope of work or product/service. If **YES**, **GO TO** Step 3.4.1, if **NO**, **GO TO** Step 3.5.
  - 3.4.1 Determine if the inactive supplier's expiration date has passed **AND**, if it has, initiate EA13QA3012-1-0, indicating that an initial supplier audit needs to be performed; then **GO TO** Step 3.7.
  - 3.4.2 Initiate EA13QA3012-1-0, indicating that an annual evaluation for reactivation needs to be performed; then **GO TO** Step 3.7.
- 3.5 Initiate EA13QA3012-1-0 if the preferred supplier or alternate supplier is **NOT** on the WTS QSL or is **NOT** qualified to perform within the scope of work or product/service or for scope expansion.
- 3.6 Complete blocks 1 - 3 of the QSLR using Attachment 2, QSLR Instructions. Include budget numbers and Cognizant Manager approval on EA13QA3012-1-0 prior to submittal to the QSL Coordinator.

- 3.7 Develop and attach a technical justification and, if applicable, the SOW, which shall be documented via formal correspondence and may include O&M manuals, cut sheets, and other documentation that supports the supplier's technical capability with regard to the scope of the work or product/service to be provided.
- 3.8 For in-process QSLRs, perform the following:
  - 3.8.1 Revise the in-process EA13QA3012-1-0, and if no modifications are made to the technical justification, **GO TO** Step 3.9.
  - 3.8.2 Modify technical justification and associated documentation as appropriate, attach to the revised EA13QA3012-1-0, and **GO TO** Step 3.9.
- 3.9 Submit the QSLR and documentation package to the QSL Coordinator.

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**NOTE**

The QSL Coordinator shall perform Steps 3.10 through 3.19.

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- 3.10 Upon receipt of the QSLR, determine if it is new, in-process, or needs to be canceled. If it is new, **GO TO** Step 3.11. If it needs to be canceled, notify Requisitioner and/or Buyer of decision and forward each a copy of the canceled EA13QA3012-1-0.
- 3.11 Review EA13QA3012-1-0 for accuracy and completeness, and ensure no qualified supplier is currently on the WTS QSL.
- 3.12 If there is a qualified supplier on the WTS QSL, cancel the QSLR, contact the Requisitioner, and **GO TO** Step 3.10.
- 3.13 Assign the EA13QA3012-1-0 and associated paperwork a QSLR number.
- 3.14 Forward the EA13QA3012-2-0 to the prospective supplier for completion.
- 3.15 If a supplier refuses to complete EA13QA3012-2-0, request an information package, which may include supplier history documentation, QA program documentation, audit documentation, etc.
- 3.16 Initiate the EA13QA3012-3-0 and update the Supplier Evaluation/QSL.
- 3.17 Inform prospective supplier that the results of the supplier audit/supplier desktop evaluation will be shared with other DOE facilities/contractors.
- 3.18 Assign a Lead Auditor.

- 3.19 Upon receipt of the EA13QA3012-2-0 from prospective supplier, forward the following information to the Lead Auditor:
- EA13QA3012-1-0
  - Completed EA13QA3012-2-0
  - Initiated EA13QA3012-3-0
  - Technical justification and other associated documentation
- 3.20 Lead Auditor, complete EA13QA3012-6-0 based on information received from the QSL Coordinator.
- 3.21 Lead Auditor, if appropriate, contact other DOE facility for information about supplier.
- 3.22 QA Management, review the EA13QA3012-6-0 with the Lead Auditor and approve or disapprove.
- 3.23 Lead Auditor, if the score is 70 points or higher, request a Desktop Evaluation number from the QSL Coordinator, document the evaluation type on EA13QA3012-1-0, and submit completed package (which may include EA13QA3012-1-0; EA13QA3012-2-0; EA13QA3012-3-0; EA13QA3012-6-0; and supporting documentation), to the QSL Coordinator.<sup>4, 5</sup>
- 3.24 Lead Auditor, if the score is less than 70, perform a supplier audit per the following criteria:
- 3.24.1 Evaluate, via on-site facility audit, adequacy and implementation of the supplier's QA program, based on an evaluation of the supplier's facilities and personnel, and observation of applicable processes.<sup>6</sup>
- 3.24.2 If a prospective supplier refuses to allow a supplier audit, contact the Cognizant Engineer/Requisitioner and QA Management to determine if the need for the supplier still exists.
- [ A ] If **YES**, indicate required quality controls in Block 7 of EA13QA3012-3-0, cancel the QSLR, and document cancellation of the QSLR on EA13QA3012-1-0.
- 3.25 Lead Auditor, document the results of the supplier audit or desktop evaluation on EA13QA3012-3-0, document evaluation type on EA13QA3012-1-0, and submit evaluation package to QSL Coordinator.<sup>7</sup>
- 3.26 QSL Coordinator, notify requisitioner and/or buyer of the evaluation results.

- 3.27 Lead Auditor or QSL Coordinator, forward supplier audit or supplier desktop evaluation and associated documentation to QA Management and obtain QA Management approval signature.
- 3.28 QSL Coordinator, upon receipt of supplier audit or supplier desktop evaluation and associated documentation, process the paperwork and update the QSL database.

#### 4.0 ANNUAL EVALUATION

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**NOTE**

Suppliers qualified based on WTS-conducted tests and inspections and other methods (such as first article inspections, receipt inspections, source inspections, etc.), to ensure the appropriate quality controls are applied, are not subject to annual evaluations.

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- 4.1 QSL Coordinator, perform the following:
  - 4.1.1 Review the QSL database each month for suppliers whose annual evaluations are due for the following month.
  - 4.1.2 Prepare an evaluation package for suppliers who are due for annual evaluations.
  - 4.1.3 Initiate form EA13QA3012-3-0 by completing information in blocks 1 and 2, from the current data maintained in the database.
  - 4.1.4 Update the supplier evaluation/QSL update request information in the QSL database.
  - 4.1.5 Assign a Lead Auditor (with concurrence from Assurance Programs management).
  - 4.1.6 Using the Vendor Tracking Database, document any variances for each vendor for the past 12 months.
  - 4.1.7 Send email information requests to the cognizant requisitioner(s), buyer(s), and WIPP Form, Corrective Action Request (CAR) and Nonconformance Report (NCR) Coordinators (WTS WIPP Forms and NCRs; and CCP CARs/NCRs).
  - 4.1.8 Contact the supplier to verify appropriate contact and email address.

- 4.1.9 Email the annual evaluation information request to the vendor and request a response within ten days.

Information requested should follow the line of questioning, as appropriate, in EA13QA3012-4-0. The information may be recorded on EA13QA3012-4-0, or in other format as appropriate (email questionnaire).

- 4.1.10 Forward the supplier's QSL file, EA13QA3012-3-0, QSL database information sheet, and information package to assigned Lead Auditor.

- 4.1.11 Document in the "Comments" section in the QSL database that the annual evaluation is in progress, and include the name of the Lead Auditor.

- 4.2 Lead Auditor, complete EA13QA3012-4-0 and attach documentation of annual evaluation line of questioning.

- 4.3 Lead Auditor, complete applicable blocks of EA13QA3012-3-0.

- 4.4 Lead Auditor or QSL Coordinator, submit evaluation package to QA Management.

- 4.5 QA Management, review and approve/disapprove, and indicate disposition on EA13QA3012-3-0.

- 4.6 QA Management, forward the completed documentation to the QSL Coordinator for processing.

- 4.7 QSL Coordinator, upon receipt of the approved documentation from QA Management, update the QSL database.

## 5.0 SUPPLIER INFORMATION CHANGES

- 5.1 QSL Coordinator or Lead Auditor, if notified of a revision to a supplier's QA program or changes to a supplier's location, name, organization, etc., review vendor's QSL file and **GO TO** Step 4.1.3.

Attachment 1 - Definitions

<b>Evaluation</b>	The process of determining a supplier's capability to provide particular quality-related items and/or services to Washington TRU Solutions LLC (WTS) in compliance with the technical, quality assurance (QA), and other requirements governing the conditions of the procurement activity. Evaluation also refers to the process of assessing a supplier's past performance history for the express purpose of retaining a particular supplier on the Qualified Suppliers List (QSL), if the evaluation results are favorable, or placing restrictions upon or removing the supplier from the QSL if evaluation results are unfavorable.
<b>Qualification</b>	Documented conclusions resulting from the evaluation or audit process. This process reflects the level or extent of the supplier's capabilities to continuously provide items and/or services that are consistent with WTS quality requirements. The basis for qualification and any limitations/ restrictions that may affect procurement activities shall be identified in the QSL.
<b>Qualified Suppliers List</b>	A listing of suppliers who have been evaluated and deemed qualified to provide specific items or services that meet specified technical and quality requirements.
<b>Supplier Audit</b>	<p>An objective assessment of an existing or potential supplier's QA program and the effectiveness of implementation performed at the supplier's facility. This audit verifies whether or not the personnel, facilities, systems, processes, or items satisfy the requirements as set forth in the contractual agreements, requirements, procedures, and/or agreed upon standards.</p> <p>A preaward audit survey is conducted as a condition of accepting a new supplier prior to a contract award. The purpose of the survey is to evaluate the ability of the potential supplier to provide a product or service that meets requirements and determine what, if any, assistance might be needed to procure acceptable product or service. Preaward surveys are usually performed as a general overview of the quality system, management structure and philosophy, stability, and capability.<sup>6</sup></p>
<b>Supplier Desktop Evaluation</b>	An evaluation of an existing or potential supplier's QA program, third-party and internal audits, registrations/certifications of nationally or internationally recognized standards, history, capabilities, and past performance to provide identical, or approved similar, items and the current QA program documentation and supporting qualitative and quantitative documentation. <sup>4, 5</sup>

Attachment 2 - QSLR Instructions

<b>Block 1, Supplier Information</b>	Requestor is required to print his or her name, include his or her telephone extension number, and the date the QSL Request is initiated. The supplier's name, full street address, city, state, and zip code; the supplier's contact or QA Representative; the supplier's contact or QA Representative email address; and the supplier's telephone number and fax number shall be provided completely.
<b>Block 2, Product or Service to be Provided</b>	Requestor is required to indicate what product or service the supplier will be required to provide should it be included on the WTS QSL, the end use of this product or service, the quality level (QL) of the product (use WP 13-QA3005 to determine QL), whether procurement services are required and the date those services are required, and the budget number for the cost of a site visit, if required.  In addition, a copy of the Purchase Requisition, Statement of Work, or Graded Approach determination to support this QSL Request and a copy of the technical justification indicating the supplier's technical capability is required to be attached to the QSL Request. QSL Requests submitted without this documentation will not be processed until all appropriate documentation is received.
<b>Block 3, Cognizant Manager Review and Approval</b>	The Cognizant Manager is required to review and approve QSL Requests prior to submission of the QSL Request to the QSL Coordinator. Review and approval indicates that the information provided on the QSL Request is accurate and complete, and that all necessary documentation is attached.
<b>Block 4, QSL Request Process Initiation</b>	The QSL Coordinator signs this block when the assigned Lead Auditor receives the information package and the evaluation process is initiated.
<b>Block 5, Type of Vendor Evaluation Performed</b>	The Lead Auditor documents the type of vendor assessment to be performed: Audit or Desktop Evaluation. If the QSLR is cancelled, the Lead Auditor will select "Cancelled." Space is provided for the Lead Auditor to briefly justify the type of evaluation performed and/or cancellation of the request. The Lead Auditor will sign, as indicated on the form.

**Attachment 3 - Supplier Evaluation/QSL Update Request Instructions**

<b>Block 1, Evaluation</b>	Indicate the type of evaluation to be performed. Upon completion of the audit or evaluation, Lead Auditor, indicate the audit number, as applicable, and the date the audit or evaluation was completed.
<b>Block 2, Supplier Information</b>	Enter the supplier's name, street address, city, state, and zip code; the supplier's contact; and the supplier's telephone number and email address.
<b>Block 3, Extension Request</b>	If an extension is not requested, check the N/A box. If an extension is requested, check the appropriate box which correlates to the desired extension time frame. The Lead Auditor must provide written justification for the extension request. The Lead Auditor, QA Management and the QSL Coordinator must print their name, sign and date.
<b>Block 4, Supplier's QA Program Basis</b>	Check all of the applicable standards that are the basis for the Supplier's quality program. If a standard used is not listed, choose "Other," and indicate what standard is used.
<b>Block 5, Supplier's QA Program Documentation</b>	Enter the title of the supplier's QA program, the revision number, and the date the revision was issued. New or updated QA program documentation received by the supplier shall be reviewed by the Lead Auditor for impact on WTS activities. Attach QA program documentation to this form.
<b>Block 6, Specific Product or Service Qualified to Provide/Perform</b>	Indicate the specific product or service the supplier is qualified to provide or perform.
<b>Block 7, Procurement Restrictions</b>	List procurement restrictions applicable to the supplier.
<b>Block 8, Comments</b>	Indicate any applicable comments regarding the supplier.
<b>Block 9, QA Action</b>	Mark the appropriate box to indicate the action required to be taken by QA.
<b>Block 10, Audit/Evaluation Completion</b>	The Lead Auditor's printed name and signature, and the date indicate that the audit or evaluation was completed and that all information on the form is accurate and complete prior to submission to QA Management for review and approval.
<b>Block 11, Review &amp; Approval</b>	QA Management's printed name and signature and the date indicate that QA concurs with the Lead Auditor's audit or evaluation results as documented on the form and that all information is accurate and complete prior to submission to the QSL Coordinator for update to the QSL.
<b>Block 12, QSL Update Request Initiation</b>	The QSL Coordinator's printed name and signature, and the date indicate that the form has been received from QA Management for processing.

Attachment 4 - Supplier Scorecard Instructions

<b>QSLR #</b>	QSL Coordinator or Lead Auditor, identify the associated QSLR # in this block.
<b>Supplier Name</b>	QSL Coordinator or Lead Auditor, identify the supplier's name in this block.
<b>Supplier Address</b>	QSL Coordinator or Lead Auditor, identify the supplier's full address in this block.
<b>Supplier Contact</b>	QSL Coordinator or Lead Auditor, identify the supplier's contact name in this block.
<b>Supplier Phone</b>	QSL Coordinator or Lead Auditor, identify the supplier's phone number in this block.
<b>Supplier Fax</b>	QSL Coordinator or Lead Auditor, identify the supplier's fax number in this block.
<b>Item 1 - Mandatory</b>	Lead Auditor, obtain a copy of the supplier's QA program manual and/or other documentation and evaluate it for applicable QA program elements appropriate to the scope of work requested. Applicable QA programs may include Nuclear Quality Assurance (NQA)-1-1989; <i>10 Code of Federal Regulations</i> (CFR) Part 71, Subpart H; 10 CFR Part 50, Appendix B, etc. A total award of 30 points is given to the supplier if this criteria is satisfied. A matrix should be considered if the supplier's QA program is based on a quality program that is not NQA-1-1989 in order to identify gaps. A WTS-approved QA program is mandatory for qualification via the Desktop/Scorecard process.
<b>Item 2</b>	Lead Auditor, ascertain and obtain a copy of a supplier's registration or certification to a national or international standard appropriate to the scope of work. National/International standards may include International Organization for Standardization (ISO) 9001, ISO 9002, National Voluntary Laboratory Accreditation Program (NVLAP), American Industrial Hygiene Association (AIHA), etc. Award 15 points if this criteria is satisfied.
<b>Item 3</b>	Lead Auditor, determine if there is objective evidence of support to other DOE facilities for similar items/services as identified by the QSL Request, Statement of Work, or the scope of work as indicated in the QSL database. Award 15 points if this criteria is satisfied.
<b>Item 4</b>	Lead Auditor, determine whether a supplier has objective evidence of third-party audit results, external to DOE complex audits. Award 10 points for each report, up to a maximum of two for a total of 20 points if this criteria is satisfied.
<b>Item 5</b>	Lead Auditor, determine whether a supplier has objective evidence of internal audit reports, indicating no Significant Conditions Adverse to Quality. Award 10 points for each report, up to a maximum of two for a total of 20 points if this criteria is satisfied.
<b>Item 6</b>	Lead Auditor, determine whether or not the item/activity is QL2. Award 10 points if the item/activity is QL2.
<b>Item 7</b>	Lead Auditor, if extenuating circumstances exist, submit to Assurance Programs Manager for consideration. If the Assurance Programs Manager agrees that extenuating circumstances exist, written justification for this consideration must be generated and attached to the Supplier Scorecards. Award 10 points if this criteria satisfied.
<b>Total Score</b>	Lead Auditor, identify the total score based on Items 1 through 7. If the score is 70 or higher a supplier desktop evaluation may be performed. If the score is below 70, a supplier audit is required.
<b>QSL Coordinator Signature Block</b>	QSL Coordinator, initial and date indicating that the supplier has been notified that results of this supplier desktop evaluation or supplier audit may be shared with other DOE facilities and contractors.
<b>Lead Auditor Signature Block</b>	Lead Auditor, print name, sign, and date upon completion of the Supplier Scorecard.
<b>QA Management Signature Block</b>	QA Management, print name, sign, and date upon completion of the Supplier Scorecard.