

U.S. Department of Energy	Subject: Safety Component Procurement Inspection Criteria, Inspection Activities, and Lines of Inquiry	HS: HSS CRAD 64-12 Rev: 0 Eff. Date: 09/03/08
Office of Independent Oversight	 <hr/> Director, Office of ES&H Evaluations Date: 9/3/08	Page 1 of 4
Criteria Review and Approval Document	 <hr/> Criteria Lead, Safety Component Procurement Date: 09/03/08	

1.0 PURPOSE

Within the Office of Independent Oversight, the Office of Environment, Safety and Health Evaluations' mission is to assess the effectiveness of those environment, safety, and health systems and practices used by line and contractor organizations in implementing Integrated Safety Management; and to provide clear, concise, and independent evaluations of performance in protecting our workers, the public, and the environment from the hazards associated with Department of Energy (DOE) activities and sites. A key to success is the rigor and comprehensiveness of our process; and as with any process, we continually strive to improve and provide additional value and insight to field operations. Integral to this is our commitment to enhance our program. We developed Safety Component Procurement Inspection Criteria, Inspection Activities, and Lines of Inquiry for internal use to support our focus area inspections in this functional area, which were conducted during 2006–2008. We are making them available on this webpage for use by DOE line and contractor assessment personnel in developing and implementing effective DOE oversight and contractor self-assessment and corrective action processes.

2.0 APPLICABILITY

The following Inspection Criteria document is approved for use by the Office of ES&H Evaluations.

3.0 FEEDBACK

Comments and suggestions for improvements of these inspection criteria, activities, and lines of inquiry can be directed to the Director of the Office of ES&H Evaluations on (301) 903-5392.

Safety Component Procurement Inspection Criteria, Inspection Activities, and Lines of Inquiry

Scope: The inspection of the procurement functional area will evaluate the effectiveness of programs and processes for procuring safety systems, structures, and components (SSCs) and services to ensure that operability, reliability, and material condition of safety systems are not compromised. Procurement includes: (1) the specifications of the physical, technical performance, shipping, storage, documentation, quality assurance/control, and other pertinent requirements for equipment, material, and services (normally performed by Engineering); (2) the processing, review, approval, and tracking of equipment, material, and services; and (3) the receipt, storage, on-site tracking, unpacking, and issuance of equipment, materials, and services.

Inspection Criteria:

- Responsibilities, authorities, and the organizational structures for the procurement of safety equipment, materials, and services are established by formal (written) procedures.
- Processes, procedures, and requirements have been established and implemented for procuring safety items to ensure they meet quality criteria, and these are appropriate to the intended application.
- Quality assurance records are controlled and maintained to provide documentation for qualified parts and materials and to ensure traceability of parts and materials.
- Processes have been established and implemented that ensure that approved suppliers continue to provide acceptable items and services for safety-related SSC.
- Formal (written) processes and procedures have been established and implemented to control procured materials, parts, or components that do not conform to the currently approved design configuration documents or requirements in order to prevent their inadvertent use or installation, and to assure that such non-conformances are appropriately resolved.

Inspection Activity:

- Review procurement processes and records for system components and services (including the quality assurance program).
- Review work documents for procurement process implementation.
- Review completed procurement documentation for commercial dedication of parts and like-for-like approval of parts.

Inspection Lines of Inquiry:

- Are procurement processes defined within the site/facility quality assurance program and include provisions for supplier qualification, receipt inspection, and document management?
- Are responsibilities, authorities, and the organizational structures for the procurement of safety equipment, materials, and services established by formal (written) procedures?
- Are components and services procured for the system obtained in accordance with the site/facility quality assurance program?
- Are critical or important acceptance parameters and other requirements, such as inspection/test equipment or qualified inspection/test personnel, specified in design documentation and included in procurement requisitions?
- Are installation instructions and post-modification testing instructions and acceptance criteria appropriately specified in procurement requisitions and performed and documented in maintenance work packages?
- Are inspections and tests performed to verify that physical and functional aspects of items, services, and processes meet requirements and are fit for use and acceptance during receipt and inspection?
- Are materials and installation of system components consistent with the requirements and performance criteria for the system, including quality controls and quality assurance?
- Does the site quality assurance program include controls to prevent the introduction of suspect or counterfeit items into essential safety systems?
- Does the contractor have a well defined commercial dedication and like-for-like approval process and includes identification of critical characteristics, engineering/design review and approval?
- Does the procurement processes provide effective material procurement status including accurate stock records, tracking of purchase orders, and maintaining traceability of safety-related parts and material?

Commercial Grade Dedication

- Has the contractor established a process for dedicating commercial grade components for safety-related applications?
- Are appropriate qualified personnel performing the commercial grade dedication?
- Has the process been appropriately implemented?

Receipt and Inspection

- Are safety parts inspected to ensure that the vendor has supplied what was ordered and has included appropriate documentation (e.g., Certificate of Compliance, certified material test record), and that they are received in acceptable condition, as defined in the approved requisition?
- Are the results of receipt inspections clearly shown on the part via acceptance tags, etc., and are nonconforming material clearly tagged and separately stored to prevent inadvertent use?
- Are safety items appropriately identified and segregated from normal stock to indicate status and ensure proper application?

- Are materials and equipment stored in a manner that provides for maximum protection and ready availability? Are materials and equipment stored with due considerations for environmental conditions?
- Are routine inspections being conducted of storage facilities and items, and are deficiencies identified and corrected?

Retrieval and Issuance

- Are parts, materials, and equipment removed from storage receiving the same care prior to removal? Are methods in place to ensure that parts, materials, and equipment are controlled; e.g., used in the correct application; and the required quality assurance traceability is maintained after issuance from storage?
- Are safety-related parts only issued to individuals on authorized requester lists?