EFCOG

Joint Supplier Evaluation Program (JSEP): Supplier Evaluation Governing Document

By the

Energy Facilities Contractors Group

Safety Working Group

Quality Assurance

Supply Chain Quality Task Team

E-SG-QA-SCQ-2020-01
Revision 1
May 20, 2021

Supply Chain Quality Task Team Members, Authors, and Principal Reviewers of this Document

Wingfield, William R. – Supply Chain Quality Task Team Chair
Los Alamos National Laboratory

Fulghum, Joseph E. – Supply Chain Quality Task Team Vice-Chair
Savannah River Site

Lewis, Alice – Pacific Northwest National Laboratory (PNNL)

Palay, Christian – DOE AU-33

Frazier, Donald – Savannah River Site

Ryan, Mark – Savannah River Site

Stein, Steve – Brookhaven National Laboratory

Grosso, Vince – Nevada National Site Security (NNSS)

Destromp, David – Los Alamos National Laboratory

Valdez, Laura – Consolidated National Security (CNS) - Pantex & Y-12

Owens, Dennis – Sandia National Laboratories (SNL)

Romero, Amber – Sandia National Laboratories (SNL)

Holcomb, Gabrielle – Sandia National Laboratories (SNL)

Supplier Evaluation Governing Document
Revision History

E-SG-QA-SCQ-2020-01 Revision Number	Overview
0	This is the initial issue of the E-SG-QA-SCQ-2020-01 document. This document was developed collaboratively by the Supply Chain Quality team. This document supersedes Revision 2 of the Joint Supplier Evaluation Program (JSEP) Supplier Evaluation Governing Document, Rev 2, Effective 2/1/2016.
1	Fixed Table of Contents to include Attachment M which was not showing.

Table of Contents

1.0 Introduction 5
2.0 Purpose 6
3.0 Scope 6
4.0 Definitions 7
5.0 Acronyms 8
6.0 Responsibilities 9
7.0 Work Instructions 10
8.0 MSL Integration 16
Appendix A – Sample Audit Plan 18
Appendix B – Sample Notification Letter 19
Appendix C – Sample Entrance and Exit Meeting Form 20
Appendix D – Required Reading Completion Form 21
Appendix E – Sample Audit Title Page and Report 22
Appendix F – Sample Audit Report Letter 24
Appendix G – Sample Finding and Observation Form 25
Appendix H – Sample Closure Letter 27
Appendix I – Requirement Matrix 28
Appendix J – Export Control / Interruptions From National Events Checklist 30
Appendix K – Audit File Package Completion Checklist 32
Appendix L – NQA- Third Party Audit Review Evaluation Form 33
Appendix M – NAP-401.1 – Third Party Audit Review Evaluation Form 36

1.0 Introduction

Energy Facility Contractors Group (EFCOG) Quality Assurance (QA) Working Group Supply Chain Quality Task Group (SCQTG) is comprised of federal and contractor employees. Each of these organizations procures various commodities that are used in both nuclear and non-nuclear facilities. The SCQTG meets semiannually to network with other DOE M&O contractors to share supplier information and to address complex and wide-spread supply chain quality issues.

The SCQTG has noted that several federal and contractor organizations continually evaluate the same suppliers, usually on a triennial basis. To reduce the duplication of effort by contractors and to free suppliers from continual evaluations that audit to the same or similar criteria, the SCQTG has established its own Joint Supplier Evaluation Program (JSEP). SCQTG/JSEP has developed a standardized assessment program to evaluate suppliers of common commodities that have the potential to be used in both nuclear and non-nuclear facilities. The SCQTG/JSEP has developed requirement matrices for the common commodities and services. Here after all activities associated with SCQTG/JSEP process will be known simply as JSEP.

This JSEP program adopts a typical standard NQA-1 audit protocol that includes audit scheduling, planning, performance, reporting, follow-up and verification, and closure of the audit processes. It also identifies lines of communication to ensure the proper reporting of audit/evaluation information. Implementation of this standardized methodology ensures that audits are documented and performed in a consistent manner by trained and qualified professionals. A trained, qualified and NQA-1 (or equivalent) certified Lead Auditor will lead each audit. The audit report is the product of this program and will be based on the applicable requirements identified in the audit plan. Where applicable the audit team will include Subject Matter Experts (SMEs) trained and qualified in areas applicable to the commodity or service being audited. Findings identified during the audit will be corrected and verified by an audit team member and accepted by the Lead Auditor. When completed, the audit report will be made available to federal and contractor participants through the Master Supplier List (MSL) previously called the Master Approved Suppliers List (MASL) database. The MASL was re-programmed by KCP-Honeywell and re-named the Master Suppliers List (MSL) as the MSL is more than just approved suppliers. The MSL contains a list of suppliers that have at one time or another been approved or considered for approval by one or more of the EFCOG sites utilizing the MSL.

Database access is controlled through a review and certification process ensuring that the user understands that information obtained shall only be used and controlled for the purposes of qualification, evaluation and monitoring of suppliers for DOE related work, see “MSL Integration” section of this document for additional information. Each site that uses the results of a JSEP audit will be responsible for reviewing and evaluating the results to ensure that the information meets their site-specific quality and regulatory requirements and to decide regarding the extent to which the supplier evaluation information is relied upon. Users are responsible to protect the names of weapons development and weapons production suppliers which may be listed within MSL.

It is incumbent upon the user to review, evaluate, and accept supplier audit information, or portions thereof, respective of their specific sites requirements without liability recourse to the audit team that submitted the audit information. Providers of information in MSL make no warranty, guarantee, or representation with respect to the information provided and shall not be liable in damages, of whatever kind, as a result of a viewer's reliance on or use of the information provided.

All users of MSL will be required to have an Entrust Account or a Personal Identification Verification (PIV) to obtain access. Users who are requesting access will have to have a need to know which will be validated by a MSL Super Administrator.

2.0 Purpose

This JSEP document is a guidance document designed to ensure consistency, under the guidance of NQA-1, when conducting evaluations of suppliers of commodities and services that have the potential to be used in both nuclear and non-nuclear facilities. Consistency is integrated into this program by using requirements that have been developed by JSEP or by integrating these requirements within each company's respective QA programs. Consistency is further achieved by selecting joint audit teams that may include auditors and SMEs from multiple federal and contractors' organizations. It is acceptable for a single company audit team to share supplier evaluations. By using shared resources or individual site supplied audits, this program will reduce the number of audits performed of common suppliers, provide the benefit of using multi-site expertise, and reduce costs to suppliers by eliminating multiple audits of the same suppliers. In addition, suppliers who are export control approved for the security protection and handling of weapons sensitive unclassified export-controlled information will be included and identified accordingly. (See Appendix J Export Control / Interruptions From National Events Checklist)

3.0 Scope

The scope of this JSEP document covers commodities and services that have the potential to be used in both nuclear and non-nuclear applications. The JSEP has developed requirements matrices based on national consensus standards. In addition, this enterprise resource center will allow auditors from across the DOE complex to observe and report red flags in an effort to support nonproliferation activities. This program does not include site-specific requirements and/or specifications; however, these documents may be provided by the sites to the Lead Auditor and auditors to be used as part of the audit preparation. Also, the JSEP does not apply to analytical services, commercial environmental analytical laboratories and/or commercial waste treatment, storage and disposal facilities (TSDFs) that are conducted under the Department of Energy's Consolidated Audit Program (DOECAP). However, sites can add suppliers to the MSL that have been accepted based on DOECAP audit reports.

4.0 Definitions

Audit - A planned and documented activity performed to determine by investigation, examination, or evaluation of objective evidence the adequacy of and compliance with established procedures, instructions, drawings, and other applicable documents, and the effectiveness of implementation. An audit should not be confused with surveillance or inspection activities performed for the sole purpose of process control or product acceptance. The terms audit, assessment and evaluation are synonymous.

Audit Checklist - A listing of documents or questions that identify each element or area the evaluation is intended to address.

Auditor - Any individual in the organization who performs any portion of an assessment includes Lead Auditors, technical specialists, and others, such as management representatives and auditors in training.

Audit Plan - The Lead Auditor develops and documents an assessment/audit plan for each audit. This plan shall identify the audit scope, requirements, audit personnel, activities to be audited, organizations to be notified, applicable documents, and schedule.

Corrective Action - Measures taken to rectify conditions adverse to quality and, where necessary, to preclude repetition.

Document - Any hard copy or electronic (text or graphic) information describing, defining, specifying, reporting, or certifying activities, requirements, procedures, or results. A document is not considered to be a quality assurance record until it satisfies the definition of a quality assurance record as defined by NQA-1.

Finding - A direct departure from a procedural, regulatory, or contractual requirement.

Lead Auditor - A person certified as a Lead Auditor in accordance with ASME NQA-1, (or equivalent) who is responsible for organizing, directing, and coordinating the conduct of an audit; reporting Findings and Observations; issuing the audit report; evaluating the adequacy of responses; and closure of the Findings/Audit.

Master Approved Suppliers List (MASL) or Master Supplier List (MSL) - The MASL/MSL database is a repository of suppliers and audit records generated in support of this procedure. The audit documentation is maintained for the purposes of evaluation of suppliers. The MASL was reprogramed and re-named (3/25/2020) Master Supplier List (MSL), which is managed by the Kansas City Honeywell National Security Campus (KCNSC).

Objective Evidence - Any documented statement of fact, other information, or record, quantitative or qualitative, pertaining to the quality of an item or activity, based on Observations, measurements, or tests which can be verified.

Observation or Opportunity for Improvement (OFI) - A weakness that, if not corrected, could yield a departure from a requirement.

Observer – An individual authorized by the Lead Auditor to observe an audit. An observer shall not actively participate in (i.e., perform auditor functions) or interfere with audit activities and shall be subject to the direction of the Lead Auditor while at the audited facility.

Quality Assurance - All the planned and systematic activities implemented within the quality system and demonstrated as needed, to provide adequate confidence that an entity will fulfill requirements for quality.

Red Flags – a term when used for "Export Controls" are indicators that may lead to the unauthorized release, end use, or end user of sensitive unclassified export controlled information and items.

Supplier - Any individual or organization who furnishes items or services in accordance with a procurement document. An all-inclusive term used in place of any of the following: vendor, seller, contractor, subcontractor, fabricator, consultant, and their sub tier levels.

Subject Matter Expert (SME) – An individual who has demonstrated technical expertise and knowledge in a specific subject area. The technical expert provides technical, system, and process information as an audit team member. A SME is objectively reviewed and approved by the Lead Auditor.

5.0 Acronyms

DOE	Department of Energy
DOECAP	Department of Energy's Consolidated Audit Program
DOT	Department of Transportation
EFCOG	Energy Facility Contractors Group
FMT	Federal Manufacturing & Technology
JSEP	Joint Supplier Evaluation Program
MASL	Master Approved Suppliers List
MSL	Master Supplier List
NNSA	National Nuclear Security Administration
OFI	Opportunity for Improvement
OUO	Official Use Only
POC	Point of Contact
QA	Quality Assurance
QMS	Quality Management System
SCQTT	Supply Chain Quality Task Team
SME	Subject Matter Expert
TSDFs	Commercial waste treatment, storage and disposal facilities

6.0 Responsibilities

6.1 Joint Supplier Evaluation Program Lead

The JSEP Lead (Supply Chain Task Team Chair) acts as the point of contact (POC) for maintaining and updating of the Annual Audit Schedule and may act as the intermediate between sites during audit scheduling activities. It is intended that he annual audit schedule and JSEP common supplier listing come from the MSL. It is prudent on each DOE Site to update the MSL. The annual audit schedule is discussed at the EFCOG Supply Chain Working Group Spring and Fall meetings as well as the monthly Supply Chain calls. In addition, the JSEP Lead maintains the JSEP Common Supplier Listing. This listing is used to identify potential JSEP-sponsored joint audits that can be performed to reduce costs to federal, contractors and suppliers.

6.2 Lead Auditor

1. The Lead Auditor has ultimate responsibility for all phases of the audit and has the authority to make final decisions regarding conduct of the audit and determination of whether objective evidence indicates a Finding and/or Observation represents the audit team with the supplier's management.
2. During the course of an audit it will be the Lead Auditor's responsibility, with input from the audit team members, to determine if the supplier has met the requirements identified in the audit plan. This decision can be made after all corrective actions have been completed and verified. During any phase of the audit if it is determined the supplier's program fails to meet the requirements identified in the audit plan, the Lead Auditor may terminate or postpone the audit after discussion with other team members. Auditors are responsible to report any suspicious behavior or red flags to the originating site. If provided at your specific site, auditors may consider completing the nonproliferation awareness training (derived from NAP-23) to ensure their understanding of red flags and what to observe when visiting suppliers.
3. Prepares the audit plan using requirements obtained from the specific commodities applicability matrix. When appropriate, incorporate commercial grade item dedication and/or suspect / counterfeit item program requirements into the planning process.
4. Schedules the audit in concert with the supplier.
5. Issues the audit plan in a formal notification letter with a copy being sent to audit team members.
6. Requests the Quality Assurance (QA) manual/plan and applicable documentation along with any safety or security requirements from the supplier.
7. Reviews the documents and distributes them to the appropriate team members. Defines the requirements of each audit team assignment, (i.e., QA, SMEs), briefs the team members on their respective assignments, and recommends team members complete reading of this document. Information can be obtained from the MSL database or the JSEP Lead. When required reviews and approves additional checklist questions based on the audit team members' review of the supplier's documentation.
8. During the audit conducts the entrance/exit meetings, daily caucus meeting with team members, and daily debrief meeting with supplier's management.
9. When compiling the audit report works with the audit team members in assembling the audit report. Ensure all Findings or Observations if applicable, are supported by

appropriate documentation, and acts as an independent reviewer to ensure consistency. Report any suspicious behavior or red flags to the originating sites export control office.

10. Prepares and signs the audit report and letter, which may include requests for corrective action for Findings and/or observations identified during the audit and formally transmits to supplier and audit team members.
11. When corrective action is requested in the audit report the supplier will send the objective evidence for closure to the Lead Auditor. The Lead Auditor will review the documents and send them to the appropriate team member for review, verification, and acceptance. When clarification of corrective actions is needed from the supplier by the audit team member they work through the Lead Auditor to resolve that issue. If an at-site verification audit is required, the Lead Auditor will assign the appropriate audit team member. Once accepted by the audit team member the Lead Auditor will sign the corrective action form.

6.3 Audit Team Members

1. Complete required reading of this document (current revision) and sign the required reading form (see Appendix D), if not already completed. The Required Reading Completion Form (Appendix D) is recommended. Include details of auditor and/or SME qualification and experience. Send completed form to the Lead Auditor.
2. Review all appropriate documentation provided by the Lead Auditor and when appropriate provide additional checklist questions for approval by the Lead Auditor.
3. Perform their assigned activities and appropriately document all answers identified in the checklist with the appropriate objective evidence.
4. All Findings are to be supported by appropriate objective evidence and are to be reported to the Lead Auditor during the daily caucus meetings prior to the daily debrief meeting with the supplier's management.
5. After the audit is completed the audit team members are to submit their section of the checklist to the Lead Auditor within the time period defined by the Lead Auditor. Every effort should be made to provide an electronic copy of the checklist to the Lead Auditor prior to the exit meeting.
6. When corrective action is required, the appropriate audit team member is to review and verify the documentation provided by the supplier that would close the Finding and/or observation. When clarification of corrective actions or a verification audit is needed, the audit team member will work through the Lead Auditor to resolve.

6.4 Observer

An observer shall not interfere with the audit process and is to direct all questions and comments to the Lead Auditor.

7.0 Work Instructions

7.1 Audit Preparation

The Lead Auditor is selected during scheduling process with input from participating federal, contractors and JSEP members. The JSEP Lead provides to the Lead Auditor the name, address, phone number and contact information of the supplier to be audited.

The JSEP members and Lead Auditor review possible audit team members (i.e. SME in DOT, Welding, QA, etc.). Audit team members are selected based on their field of expertise and qualifications). The Lead Auditor contacts potential audit team members and obtains a commitment to participate on the audit (the JSEP Lead may assist in this process). The Lead Auditor informs the JSEP Lead once the team is assigned.

7.2 Audit Planning and Scheduling

The Lead Auditor prepares the audit plan (See Appendix A for content) works with the supplier to determine a schedule for the audit and time of the entrance meeting and then confirms this with the audit team members; prepares the audit notification letter (See Appendix B for content) that will be sent to the supplier with the audit plan (see Appendix A) attached. The audit notification letter and audit plan will be sent directly to the supplier with copies going to the audit team members and the JSEP Lead.

The Lead Auditor obtains input from other user sites and determines the appropriate Requirement Matrix, Appendix I, to be used.

The Lead Auditor will request from the supplier to be audited, a copy of the suppliers QA Program/Manual and other applicable documents for review to support the audit.

If a copy of the supplier's QA Program /Manual is received prior to the audit and scheduling permits, the QA Program/Manual will be reviewed to determine adequacy of meeting appropriate requirements. If the QA Program/Manual is determined to be inadequate, notify the supplier to resolve inadequacies. If inadequacies cannot be resolved, the Lead Auditor will communicate the inadequacies with the audit team determine whether to proceed or cancel the audit. If the QA Program meets the requirements then proceed with the audit.

7.3 Audit Team Preparation

The Lead Auditor communicates with audit team members to ensure all questions are answered prior to the actual audit (this can be done by various conference calls or pre-audit discussion); distributes applicable checklist to audit team members for review and audit preparation; receives the supplier documentation and ensures what has been received is what was requested; and distributed the supplier documentation to the appropriate audit team member. Note: the Export Control / Interruptions From National Events Checklist (Appendix J) is not to be distributed to the supplier.

Audit team members review documentation and determine if any new requirements are needed. If the checklist requires a revision audit team members will seek the approval of the Lead Auditor.

Audit team members and observers should complete required reading of this document and sign the required reading form (see Appendix D) prior to the audit. The signed Appendix D is to be provided to the Lead Auditor.

Prior to the audit, the Lead Auditor shall obtain a list of the suppliers PPE (Personal Protective Equipment) that will be needed to perform supplier visit activities. Usually, the

supplier will provide the PPE; however, there may be occasions in which the auditor may need to bring her/his own PPE (e.g., safety shoes).

For National Security Enterprise (NSE) suppliers, prior to the entrance meeting or at the entrance meeting, the Lead Auditor should have the supplier sign a Disclosure Agreement Statement such as:

> ***Supplier acknowledges that [NSE Site] is a government owned contractor operated facility and the United States Government has ownership, authority, control, audit and inspection rights over all activities conducted at [NSE Site name]'s location. Supplier agrees that that [NSE Site name] in furtherance of the performance of work under its Management and Operating (M&O) or equivalent contract with the NNSA and DOE, that [NSE site name] will disclose certain [NSE site name] activities which could contain Supplier's proprietary information to federal government officials.***
>
> ***By written acknowledgement/signature and submitting to this assessment, (Supplier) agrees that this audit will be shared with Dept. of Energy (DOE), National Nuclear Security Administration (NNSA), or with DOE/NNSA M&O or equivalent contractors, by placing it on the Master Supplier List (MSL) or approved repository, or by encrypted email, upon specific request by authorized individuals with a need to know.***

7.4 Entrance Meeting

The Lead Auditor in coordination with the supplier's management conducts this meeting (explains the purpose of the audit and reviews the audit plan and identifies the lines of communication for the audit team); provides an Entrance Meeting Form (see Appendix C) to document those in attendance; and introduces members of the audit team. If an observer is in attendance explains their role.

During this time, the Lead Auditor and audit team members shall discuss the facility hazards and safety precautions to take prior to performing work. Follow the safety rules and precautions as discussed in the briefing. If at any time you feel that safety precautions are less than adequate inform the lead auditor and the supplier of your concern.

A tour or walk through of the facility is not required, but is highly recommended. The object of the walk-through is to give the audit team members an overview of the supplier's operation and activities.

7.5 Performance of the Audit

During the daily caucus with the audit team, members provide objective evidence to support either a Finding/Observation/OFI during the day. Additional objective evidence shall be examined to determine if it was an isolated case or if a trend exists. Findings will state the requirement and the condition. The objective evidence will be discussed with the Lead Auditor to ensure accuracy so they can be reported during the daily debrief with the supplier's management. Finding and Observations will be identified on the checklist.

For those situations where the supplier adequately addresses the requirements in its QA Manual and the opportunity for implementation has not occurred, the element must be statused as an Observation on the checklist and documented in detail as such in the audit report. It is acceptable for the Lead Auditor to leave the suppliers facility with an explanation that the determination is considered an “open item” until a decision is made concerning the status. Although the decision is at the discretion of the Lead Auditor, it is his or her responsibility to discuss the situation with the other auditors.

During the daily debrief with the supplier’s management the Lead Auditor reports the day’s activities. The Lead Auditor will facilitate any discussions.

When a Finding or Observation/OFI has been identified and the supplier takes immediate corrective action, the audit team member that identified the Finding or Observation/OFI may accept the corrective action and close the Finding or Observation/OFI during the audit. Findings or Observations/OFIs closed during the audit should be documented in the audit report.

Checklists should be typed, paginated and completed in an electronic form (i.e., pdf file). Each checklist used during the audit will be completed with the appropriate information answering the question using the objective evidence obtained during the audit. The objective evidence will be used as the basis to determine if the supplier is implementing the requirement. It should also include references to program documents in support of the requirements. It is not acceptable to only state “satisfactory”, “acceptable”, “pass” without a basis statement. Same with requirements N/Ad, a statement should be included as to why the requirement was N/Ad.

Note: Effort should be made to complete and submit the electronic checklist and draft report to the Lead Auditor prior to departure of the supplier’s facility.

7.6 Exit Meeting

The Lead Auditor in coordination with the supplier’s management conducts this meeting (reviews the purpose of the audit); provides an Exit Meeting Form (see Appendix C) to document those in attendance; reviews with those in attendance all Findings and/or Observations/OFIs identified during the audit (all Findings and/or Observations/OFIs should have already been identified to the supplier so there are no “surprises” during the Exit Meeting); when possible provides the supplier a draft copy of all Findings and/or Observations/OFIs identified during the audit; identifies when the report will be issued to the supplier, (e.g. 30 calendar days after the audit Exit Meeting) or as deemed appropriate by the Lead Auditor; when applicable, and in agreement with the supplier’s management, will identify when the corrective action will be expected after receipt of audit report.

The Lead Auditor will determine on or before the exit meeting, based on daily caucuses and debrief meetings with the supplier, if the Findings and/or Observations/OFIs identified during the audit will meet the requirements identified in the audit plan. This is a crucial point in the audit because if the results of the audit show that the Findings and/or Observation/OFIs identified are of such an extent that they cannot be corrected in a

reasonable amount of time, the Lead Auditor must determine if the requirements identified in the audit plan are met.

Exit meeting documents shall contain the following verbiage:

This report will be shared with the Dept. of Energy (DOE), National Nuclear Security Administration (NNSA), and with other DOE/NNSA operating subcontractors, via the Master Suppliers List (MSL) or approved repository, and may also be shared by encrypted email upon specific request by authorized individuals with a need to know.

- ***Supplier agrees that data generated from audits will be shared as described above***
- ***Supplier validates that audit data (provided by supplier) is factually accurate and that it does not contain supplier's trade secrets, supplier's confidential commercial or financial data, or export controlled information***

DOE/NNSA sites will not share audit data with respective site parent company(ies). DOE/NNSA and its sites are required to protect supplier information from unauthorized use or disclosure.

7.7 Audit Report and Letter

The audit report (see Appendix E) and letter (see Appendix F) are prepared by the Lead Auditor with assistance from the audit team members. If there are questions concerning the audit they are to be directed to the Lead Auditor. Noteworthy practices may also be identified in the audit report. Site specific procedure(s) should be identified in the "Reference" section only. The audit report shall include as a minimum the following information:

- Description of the audit scope
- Identification of the audit team members listed in the capacity they served
- Identification of key personnel contacted during the audit
- A summary of documents reviewed, persons interviewed, and the specific results of the reviews and interviews
- A statement of the suppliers QA program implementation and effectiveness
- A description of each reported Finding and Observation, as applicable, in sufficient detail to enable corrective action to be taken by the supplier
- A technical evaluation for new suppliers
- Any suspicious behavior or potential nonproliferation security concerns

Note: In no findings or observations are identified, the audit report and letter can also be used as the closure letter.

7.8 Corrective Action

Each Finding and Observation identified during the audit will be documented on an audit Finding/Observation form (see Appendix G), or similar form. All audit Findings require a corrective action response unless corrected during the audit. However, the audit team will determine if identified Observations require a corrective action response. The supplier is to provide objective evidence that the Finding and/or Observation have been corrected and implementation of that corrective action has been validated. When corrective action

requires longer than the agreed upon time, the supplier will provide a corrective action plan as to how and when the Finding and/or Observation will be resolved.

7.9 Audit Follow-Up

The Lead Auditor receives the objective evidence from the supplier for all Findings and/or Observation identified. At this time the Lead Auditor will review objective evidence supplied for completeness and forward them to the appropriate audit team member for review.

The audit team member is to review the objective evidence submitted by the supplier and determine if the corrective action taken effectively closes the Finding and/or Observation. If more information is required to close the Finding and/or Observation the audit team member works through the Lead Auditor to get this additional information from the supplier.

When appropriate the audit team member may have to travel to the supplier's facility and verify that the actions taken to close the Finding and/or Observation have been properly implemented. This action is agreed upon between the Lead Auditor and the audit team member. When on-site verification is required the Lead Auditor works with the supplier and audit team member to schedule site visit.

When the audit team member is satisfied with the information provided, he or she signs the audit Finding/Observation form (corrective action verified by) and informs the Lead Auditor.

When the Lead Auditor receives notification from the audit team members that all Findings and/or Observations have been successfully addressed, the Lead Auditor signs the audit Finding/Observation form accepting the corrective action taken and closes the Finding.

7.10 Audit Closure

Audit closure is completed by the Lead Auditor. After the audit team has completed their review of all the corrective action and verified implementation and the audit Finding/Observation forms have been signed the audit is ready to close.

The audit closure letter acknowledges the supplier for allowing the audit to take place, it also states that the corrective actions taken and/or planned are acceptable and attaches the signed audit Finding/Observation forms to the letter. The closure letter identifies the QA program elements the supplier is approved for. The letter also states that the complete audit report will be shared with other federal and contractors upon request.

The audit closure letter (see Appendix H) formally closes the audit and is sent directly to the supplier by the Lead Auditor with copies going to the audit team members and the JSEP Lead for distribution. The following documents are required for entering audit information in the MSL database. The below documents can be submitted individually or as an audit report package.

- Audit Notification Letter and Audit Plan
- List of Entrance and Exit meetings' attendees
- Audit Complete Checklist (typed and paginated)

- Audit Report and Cover Letter
- Auditee's Response Letter (Not required if there are no Findings)
- Response Evaluation Letter (Not required if there are no Findings)
- Close-Out Letter

It is the determination of each site, if they choose to upload to MSL Official Use Only (OUO) information contained within any of the reports. Project owners should identify in the comment field if the report is OUO, since OUO reports are not typically uploaded in the MASL.

8.0 MSL Integration

MSL database users will be required to have an Entrust Account or a Personal Identification Verification (PIV) to obtain access. Users who are requesting access will have to have a need to know which will be validated by a MSL Super Administrator.

8.1 Project User Guide for Site Administrators

The NSE QSWG MSL Project User Guide for Site Administrators provides information on the system and access controls.

8.2 Project Owner Responsibilities

Owners are DOE Contractors who have performed or led the assessment/audit of the supplier. Owners are responsible for entering information about the evaluated suppliers into the system per MSL guidelines. An audit file package completion checklist (see Appendix K) should be used to ensure that all the elements of the audit are included in the audit package. The DOE Contractors should also attach completed assessment/audit report and supporting documentation (i.e., completed checklist, closed responses to findings, etc.) for that respected supplier. It is understood that some DOE Contractors which contain OUO information will not be attaching their audit reports or supporting documents into the system. In such cases, viewers can contact the DOE Contractor directly to request information about the supplier. Owners are also responsible for maintaining current information in the MSL.

Providers of information in MSL make no warranty, guarantee, or representation with respect to the information provided and shall not be liable in damages, of whatever kind, as a result of a user's reliance on or use of the information provided.

8.3 Users Responsibilities

Users of information from the MSL are responsible for evaluating the information for their respective company's needs. Users have the sole responsible for determining use of supplier information obtained from another company. A third-party audit review evaluation form (see Appendix L or M) may be considered when performing this evaluation. It is incumbent upon Users to ensure that their respected site procedures allow use of other company's supplier audit/assessment reports. Also, Users need to indicate in the MASL that they are now a User. This step is important because Users are informed of new information about the company and when their requalification audit/assessment is due.

Users are responsible to protect the names and information obtained from MSL of our weapons development and production suppliers. The lists of development and production supplier's names are sensitive unclassified and restricted from public release. Viewers understand and acknowledge the information is for purpose of work with DOE only and shall not be publically released.

Note: The Dept. of Energy requires weapon development and production suppliers be approved for the security, protection and handling of sensitive unclassified (export controlled) information prior to sharing of information. For suppliers who are shown as "inactivated" status are a result of a security concern, the user should contact the site who originated the entry for further details prior to any quality audits with the supplier. Users should consider not utilizing the "inactivated" supplier for weapon development or production use. Contact your sites export control office for more details.

All report uploads or transmissions shall include the following banner:

> ***Limited Distribution: This information may NOT be further distributed without written approval from the originating site. Disclaimer: Audit information contained herein represents the requirements and results used by originating site, to qualify this supplier. These results represent the opinion of the auditor during the time specified in the report and were derived from interviewing personnel, reviewing documentation, or observing activities at the supplier facility. Audit information may be privileged, confidential, proprietary, and may be protected from disclosure under applicable law. Any dissemination, distribution or copying of this audit report by unauthorized individuals is strictly prohibited. It is the sole responsibility and determination of the user to evaluate and accept supplier audit information, or portions thereof, without any liability to originating site.***
>
> ***(DOE/NNSA sites are not permitted to share audit data with parent companies of operating contractors (typically LLCs), since data could pertain to suppliers that the parent company may routinely or specifically compete with, for the same or similar work.)***

8.4 Reporting Cost Avoidances

When a contractor makes use of the information contained in the MSL in lieu of performing their own audit (or sending fewer auditors), Project Owners and Users of audit reports contained in the MSL have the responsibility for entering in their respective cost avoidances. Project owners could realize potential cost avoidance by using resources from other DOE sites that assisted in the performance of the audit. Users of audits from the MSL may realize even larger cost avoidance by using audits provided by a different DOE site. Please refer to the MSL guidance documents. If a site is able to evaluate a supplier based on another site's audit or only sends one auditor versus 2 or 3. It is the User site's responsibility to enter a Cost Avoidance (eForm) into the MSL under the auditing site's MSL Project.

Appendix A – Sample Audit Plan

Audit Number: [Lead Auditor assigns this number using contractor's site-specific number log if available; if not assign a number using the calendar year, site name, sequential number (e.g., 2020-ORNL-001)]
Contractor (include point of contact information):
Location of Audit:
Dates of Audit:
Audit Team Members:
Audit Scope:
Technical Requirements:

Prepared By: _____

Date: _____

Appendix B – Sample Notification Letter

Date:

Company's Representative
Company's Name
Address

Dear Mr/Ms./Dr.:

PLANNED JOINT SUPPLIER EVALUATION PROGRAM (JSEP) QUALITY ASSURANCE AUDIT OF WIDGET EXPRESS CORPORATION ON SEPTEMBER 15-16, 2020

As agreed in an earlier discussion, an audit at your facility is scheduled for September 17, 2020. The purpose and scope of the audit is to determine if Widget Express Corporation has an implemented quality assurance/technical program to (specify requirement criteria). Lead Auditor (name, site represented) and IM Sidekick (Auditor, site represented) and UR Technical (Technical Auditor, site represented) will be the representatives for this audit. The entrance meeting is scheduled for September 15, 2020, at 8:30 a.m., and the exit meeting is tentatively scheduled for September 16, 2020, at 2:00 p.m. See the attached audit plan for additional information.

Please ensure that adequate facilities are available both for conducting an entrance and exit meeting and for the audit team to caucus and review documents. Please ensure all appropriate documents are available for the auditor's use during the audit. Notify the appropriate cognizant management and other appropriate personnel of the proposed audit schedule.

Please provide an uncontrolled copy of your Quality Assurance Manual to (insert the name, address or email of the Lead Auditor where these documents are to be sent.)

The results of this audit may be shared within the federal and contractors complex through the Master Suppliers List (MSL) database however it is not approved for release to the public. Therefore, the information obtained during this evaluation will not be disclosed outside of the DOE/EM/NNSA/Office of Science/Nuclear Energy complex.

If you have any questions, please call me at (xxx) XXX-XXXX.

Sincerely,

Lead Auditor

cc: Audit Team Member(s)
JSEP Lead

Appendix C – Sample Entrance and Exit Meeting Form

Entrance/Exit Meeting			
Date:		**Supplier Name:** **Address:**	
Audit #:			
Name	**Title/Position**	**Entrance Attendance (Signature)**	**Exit Attendance (Signature)**

Appendix D – Required Reading Completion Form

Note: This form should be completed and signed by the Audit Team Member and/or Observer then sent to the JSEP Lead and the Lead Auditor prior to conducting the audit.

Name:	**Company:**
Document: Joint Supplier Evaluation Program Procedure **Revision:** **Date:**	
I have read and understand my responsibilities per my assigned role (i.e., Audit Team Member or Observer) as described in the above document. **Signature: _____ Date: _____**	
Please check your assigned role below: **Audit Team Member: ☐ (complete section A below)** **Subject Matter Expert ☐ (complete section B below)** **Observer ☐**	

Section A

Audit Team Member Qualifications

Certified Lead Auditor: ☐ Yes ☐ No Please attach current resume and auditor qualification/certifications

Section B

Subject Matter Expert (SME) Experience

Supplier and Commodity:
Defined experience as it relates to the assigned audit:

Appendix E – Sample Audit Title Page and Report

{Sample Audit Title Page}

Joint Supplier Evaluation Program Audit Report
(Lead Auditor's Company's Name)
of:

Supplier's Name
Address

Audit No. XXX-XXX-01

Audit Date: XX-XX, XXXX

This document is subject to being shared with other Department of Energy (DOE)/EM/NNSA Government Owned Contractor Operated facilities; however, it is not approved for release to the public. Therefore, the information contained in this document is not to be disclosed outside of the DOE/EM/NNSA/Office of Science/Nuclear Energy complex.

[Add Lead Auditor's site-specific disclaimer information as appropriate.]

Appendix E – Sample Audit Title Page and Report (continued)

{Sample Audit Report}

Company:

Address: **Telephone No.:**

Evaluation Date(s): **Report Date:**

Team Members: **Contact:**

INTRODUCTION

Note the evaluation purpose and scope if it has not already been addressed in the notification letter.

Personnel present during the entrance and exit meeting are as follows:

Name Title Entrance Exit

SUMMARY OF RESULTS

- Identify any noteworthy practices
- Provide the number and summary of Findings and Observations

Example: There were two Findings and one Observation noted during the course of this audit. See attached Audit Finding/Observation Form for detailed information

FINDINGS:

A Finding is a direct departure from a procedure, regulatory, or contractual requirement. It should be understood that any lack of a Finding in a specific area is not considered an indication that deficiencies do not exist. The company should continue its own evaluations to ensure compliance to the (add criteria) and internal QA program requirements.

OBSERVATION:

An Observation is a weakness that, if not corrected, could yield a departure from a requirement.

CONCLUSION:

Include a conclusion statement regarding the supplier's implementation and effectiveness of the audited element of their Quality Management System (QMS).

REFERENCES:

Listing of any site-specific procedures and documents reviewed

Appendix F – Sample Audit Report Letter

Date:

Company's Representative
Company Name
Address

Dear Mr. / Ms. / Dr.:

JOINT SUPPLIER EVALUATION PROGRAM (JSEP) QUALITY ASSURANCE AUDIT OF WIDGET EXPRESS CORPORATION PREFORMED ON SEPTEMBER 15-16, 2020

Thank you for the cooperation extended to the audit team during the subject audit. The management system was documented and effectively implemented to most of (**insert evaluation criteria**) requirements; exceptions are noted in the attached audit report.

The audit team requests that a written response to each (Finding and/or Observation) be made within thirty (30) working days after receipt of this report. The response must include identification of the root cause for each Finding as well as a description of the corrective action taken (or being taken) to correct immediate problems and to prevent future occurrences, and the date completed or scheduled to be completed. In addition, please identify any lessons learned as a result of this evaluation.

Resolution of the identified Findings and/or Observations and Objective evidence of implementation will give the audit team the right to enter (insert name of Company) into the MSL database as having an implemented QA program to (**identify National / International QA Program**) for (**identify commodity or service**).

If you have any questions, please contact me at (XXX) XXX-XXXX.

Sincerely,

Lead Auditor
IMC/ATL/xxx

Attachment
cc: Audit Team Members
JSEP Lead

Appendix G – Sample Finding and Observation Form

Audit Finding/Observation Form

Audit No.:	Finding No.:	Observation No.:	Date:
Audited Organization:		Lead Auditor:	
Person(s) Contacted:		Auditor(s):	
Requirement:			
Finding/Observation (as Indicated Above) Response Required? ☐ Yes ☐ No			
Corrective Action:			
Scheduled Completion Date:			
Lead Auditor Concurrence With Proposed Corrective Actions:		Date:	
Corrective Action Verified and Closed by (If different from Lead Auditor):		Date:	
Lead Auditor – Closure:		Date:	

Page 1 of

Appendix G – Sample Finding and Observation Form (continued)

Audit Finding/Observation Form
Continuation Page

Audit No.	Finding No.	Observation No.

Appendix H – Sample Closure Letter

Date

Company's Representative
Company Name
Address

Dear Mr. / Ms. / Dr.:

CLOSE-OUT OF JOINT SUPPLIER EVALUATION PROGRAM (JSEP) QUALITY ASSURANCE AUDIT OF WIDGET EXPRESS CORPORATION PERFORMED ON SEPTEMBER 15-16, 2020

Thank you for the final corrective action response to the subject at-site evaluation. Your response has been deemed acceptable and this at-site evaluation is considered closed.

The audit team will be entering (enter name of company) into the Master Suppliers List (MSL) database as having an implemented Quality management system to (**identify National/International QA program**) for (**identify commodity or service**).

If you have any questions, please contact me at (XXX) XXX-XXXX,

Sincerely,

Lead Auditor

IMC/ATL/xxx

cc: Audit Team Member(s)
JSEP Lead

Appendix I – Requirement Matrix

Supplier Quality Assurance Program Requirements
Applicable Paragraphs of NQA-1-2008 - 2009 Addenda Part I

☐ **Requirement 1 - Organization**
- ☐ 100 Basic
- ☐ 200 Structure and Responsibility
- ☐ 300 Interface Control

☐ **Requirement 2 – Quality Assurance Program**
- ☐ 100 Basic
- ☐ 200 Indoctrination and Training
- ☐ 300 Qualification Requirements
- ☐ 400 Certification of Qualification
- ☐ 500 Records

☐ **Requirement 3 – Design Control**
- ☐ 100 Basic
- ☐ 200 Design Input
- ☐ 300 Design Process
- ☐ 400 Design Analyses
- ☐ 500 Design Verification
- ☐ 600 Change Control
- ☐ 700 Interface Control
- ☐ 800 Software Design Control
- ☐ 900 Documentation and Records

☐ **Requirement 4– Procurement Document Control**
- ☐ 100 Basic
- ☐ 200 Content of the Procurement Document
- ☐ 300 Procurement Document Control
- ☐ 400 Procurement Document Changes

☐ **Requirement 5 - Instructions /Procedures/Drawings**
- ☐ 100 Basic

☐ **Requirement 6 – Document Control**
- ☐ 100 Basic.
- ☐ 200 Document Control
- ☐ 300 Document Changes

☐ **Requirement 7 – Control of Purchased Items/Services**
- ☐ 100 Basic
- ☐ 200 Supplier Evaluations and Selection
- ☐ 300 Bid Evaluation
- ☐ 400 Control of Supplier Generated Documents
- ☐ 500 Acceptance of Items or Service
- ☐ 600 Control of Supplier Nonconformances
- ☐ 700 Commercial Grade Items and Services
- ☐ 800 Records

☐ **Requirement 8 – Identification and Control of Items**
- ☐ 100 Basic.
- ☐ 200 Identification Methods
- ☐ 300 Specific Requirements

☐ **Requirement 9 – Control of Special Processes**
- ☐ 100 Basic
- ☐ 200 Process Control
- ☐ 300 Responsibility
- ☐ 400 Records

Appendix I – Requirement Matrix (Continued)

☐ **Requirement 10 - Inspection**
- ☐ 100 Basic
- ☐ 200 Inspection Requirements
- ☐ 300 Inspection Hold Points
- ☐ 400 Inspection Panning
- ☐ 500 In-Process Inspections
- ☐ 600 Final Inspections
- ☐ 700 Inspections During Operations
- ☐ 800 Records

☐ **Requirement 11 – Test Control**
- ☐ 100 Basic
- ☐ 200 Test Requirements
- ☐ 300 Test Procedures (Other than for Computer Programs)
- ☐ 400 Computer Program Test Procedures
- ☐ 500 Test Results
- ☐ 600 Test Records

☐ **Requirement 12 – Control of Measuring and Test Equipment**
- ☐ 100 Basic
- ☐ 200 Selection
- ☐ 300 Calibration and Control
- ☐ 400 Records

☐ **Requirement 13 – Handling, Storage, and Shipping**
- ☐ 100 Basic
- ☐ 200 Special Requirements
- ☐ 300 Procedures
- ☐ 400 Tools and Equipment
- ☐ 500 Operations
- ☐ 600 Marking or Labeling

☐ **Requirement 14 – Inspection, Test, and Operating Status**
- ☐ 100 Basic

☐ **Requirement 15 – Control of Nonconforming Items**
- ☐ 100 Basic
- ☐ 200 Identification
- ☐ 300 Segregation
- ☐ 400 Disposition

☐ **Requirement 16 – Corrective Action**
- ☐ 100 Basic

☐ **Requirement 17 – Quality Assurance Records**
- ☐ 100 Basic
- ☐ 200 Generation of Records
- ☐ 300 Authentication of Records
- ☐ 400 Classifications
- ☐ 500 Receipt Control of Records
- ☐ 600 Storage
- ☐ 700 Retention
- ☐ 800 Maintenance of Records

☐ **Requirement 18 - Audits**
- ☐ 100 Basic
- ☐ 200 Scheduling
- ☐ 300 Preparation
- ☐ 400 Performance
- ☐ 500 Reporting
- ☐ 600 Response
- ☐ 700 Follow-Up Action
- ☐ 800 Records

Appendix J – Export Control / Interruptions From National Events Checklist

Process	Applicable	Accept / Reject	Planning Tool for Supplier Visits	Comment
Export Control			Information provided by:_____ Title:_____	
			How many employees does the supplier have? How many are in QA?	
			How large is the building: _____ sq-ft How many acres does the building sit on? Is the site fenced in?	
			How is the building secured in off-hours?	
			Is there another facility other than this site that potentially could be providing Safety Class, Safety Significant, or Weapons Material?	
			Does the supplier employ foreign nationals? What about temporary, contract, or janitorial personnel?	
			Does the company have documented policy and procedures restricting access from foreign persons to their facilities, manufacturing, and export controlled information? (e.g. technology control plan)	
			Is NNSA export controlled information maintained in a secure area, when not in use?	
			Is NNSA printed technical data, identified as ECI, shredded or thrown in trash?	
			How were the specifications transmitted to/from supplier or his/her sub-tier supplier? [Password-protected email, Encrypted email, Federal Express/certified mail, other (how?)]	
			Are visitors escorted?	
			Is technical data created by your company engineers of information taken from NNSA drawings identified as ECI, identified as export controlled, when applicable? (this can be any method of identification)	
			Does the company communicate to the sub-tier contractor technical data is export controlled, when NNSA ECI is shared?	
			Is there open access to the facility, including freight carriers? If so, is there a written procedure for employees to challenge visitors entering the facility or their work area?	
			Are business servers located in a foreign country or the "Cloud"? If so, report this as an issue.	
			Are foreign persons operating NNSA equipment, loaned for their use and identified as export controlled?	
			US suppliers who hire foreign persons, is their access restricted from NNSA export controlled information?	

Appendix J – Export Control / Interruptions From National Events Checklist (Continued)

Process	Applicable	Accept / Reject	Planning Tool for Supplier Visits	Comment
Interruptions From National Events			Have there been any diversions in your materials or tools supply routes due to national events such as: ● Routing changes ● Port changes ● Carrier changes or unusual hand-offs ● Maintenance schedule changes ● Named contract entity changes ● Materials substitutions	
			Have there been any changes to your work force, including: ● Temporary hires with reduced vetting ● Shifting of skills-based workers to different programs, projects, or processing ● External support contacts ● Unexpected layoffs or terminations ● Changes in management or contract authorities ● Training expirations	
			Have there been any changes to your process equipment related to LANL contracts, such as: ● Materials not allowed by contract to be run on process machines ● Diversion of process equipment to non-routine materials or parts ● Increased or decreased throughput due to changing resource demands ● Maintenance personnel changes ● Certification expirations	

Appendix K – Audit File Package Completion Checklist

Audit No.:	**Auditing Company:**	**Audit Team Lead:**	
Supplier Name:	**Supplier Address:**	**State:**	**Zip Code:**
Service / Capabilities:			

Evaluation Criteria:			
☐ NQA-1-_____	☐ NQA-1a-	☐ NQA-1b-_	☐ NQA-1c-_
☐ ISO-17025: _____	☐ ANSI-Z540:	☐ ANSI-N323:	☐ NAP-401.1_____
☐ DOE O 414.1	☐ Other:		

	Initials to Verify	
Document to be Placed in Audit File	**Completed**	**Doc. Uploaded to MSL**
1. Audit Plan		
2. Copies of Lead Auditor Qualifications (if not already submitted)		
3. Technical Specialist Qualification (if applicable and/or not already submitted)		
4. Audit Notification Letter		
5. Audit Attendance Record		
6. Audit Report Cover Letter		
7. Audit Report (including Extension Request Approval if over 30 days from audit) (if applicable)		
8. Completed Audit Checklist		
9. Audit Response/Closed Audit Finding Forms (if applicable)		
10. Audit Closure Letter (if applicable)		
11. Limited Distribution & Disclaimer Statement with Supplier's Name and Audit Number (if applicable)		
12. Supplier's Disclosure Agreement Form, if applicable.		

Verification that Audit File is complete and ready for submittal to MSL:

_____ _____ _____

Audit Team Lead Name Signature Date

Manager/Director review of audit file package to verify that it is ready for submittal to MASL:

_____ _____ _____

Manager/Director, Quality Services Signature Contractor/Site Date

Appendix L – NQA- Third Party Audit Review Evaluation Form

3rd Party Review Performed by Co. Name:	**Contractor**	**Review Identification:**		**3rd Party Reviewer (ATL):**
Audit Performed by Co. Name:	**On-site audit dates:**	**Audit No.:**		**Audit Team Leader:**
Supplier:		**Service/Capabilities:**		
Address:		**City:**	**State:**	**Zip Code:**
Supplier Contact:		**Phone No.:**		
Supplier's Current QA Manual Title and Basis:		**Rev & Issue Date:**		

Evaluation Criteria:			
☐ NQA-1-_____	☐ NQA-1a-_____	☐ NQA-1b-_____	☐ NQA-1c-_____
☐ ISO-17025:_____	☐ ANSI-Z540:	☐ ANSI-N323: _____	☐ DOE O 414.1_____
☐ NAP-401.1_____	☐ Other: _____		

ASME NQA-1 Requirements:	**Desk Review / Compliance (Not Found)**	**Implementation / Performance (Not Found)**	**ESL Approved Criteria**
Part I, Requirement 1: ☐ 100 ☐ 200 ☐ 300			
Part I, Requirement 2: ☐ 100 ☐ 200 ☐ 300 ☐ 400 ☐ 500			
Part I, Requirement 3: ☐ 100 ☐ 200 ☐ 300 ☐ 400 ☐ 500 ☐ 600 ☐ 700 ☐ 800 ☐ 900			
Part I, Requirement 4: ☐ 100 ☐ 200 ☐ 300 ☐ 400			
Part I, Requirement 5: ☐ 100			
Part I, Requirement 6: ☐ 100 ☐ 200 ☐ 300			
Part I, Requirement 7: ☐ 100 ☐ 200 ☐ 300 ☐ 400 ☐ 500 ☐ 600 ☐ 700 ☐ 800			
Part I, Requirement 8: ☐ 100 ☐ 200 ☐ 300			
Part I, Requirement 9: ☐ 100 ☐ 200 ☐ 300 ☐ 400			
Part I, Requirement 10: ☐ 100 ☐ 200 ☐ 300 ☐ 400 ☐ 500 ☐ 600 ☐ 700 ☐ 800			
Part I, Requirement 11: ☐ 100 ☐ 200 ☐ 300 ☐ 400 ☐ 500 ☐ 600			
Part I, Requirement 12: ☐ 100 ☐ 200 ☐ 300 ☐ 400			

Appendix L – NQA- Third Party Audit Review Evaluation Form (Continued)

ASME NQA-1 Requirements:	**Desk Review / Compliance (Not Found)**	**Implementation / Performance (Not Found)**	**ESL Approved Criteria**
Part I, Requirement 13: ☐ 100 ☐ 200 ☐ 300 ☐ 400 ☐ 500 ☐ 600			
Part I, Requirement 14: ☐ 100			
Part I, Requirement 15: ☐ 100 ☐ 200 ☐ 300 ☐ 400			
Part I, Requirement 16: ☐ 100			
Part I, Requirement 17: ☐ 100 ☐ 200 ☐ 300 ☐ 400 ☐ 500 ☐ 600 ☐ 700 ☐ 800			
Part 1, Requirement 18: ☐ 100 ☐ 200 ☐ 300 ☐ 400 ☐ 500 ☐ 600 ☐ 700 ☐ 800			
Part II, Requirement 2.7: ☐ 100 ☐ 200 ☐ 300 ☐ 400 ☐ 500 ☐ 600 ☐ 700			
Part II, Requirement 2.14: ☐ 100 ☐ 200 ☐ 300 ☐ 400 ☐ 500 ☐ 600			
Part II, Requirement 2.15: ☐ 100 ☐ 200 ☐ 300 ☐ 400 ☐ 500 ☐ 600			
Other:			
ISO/IEC 17025 Requirements:	**Desk Review / Compliance (Not Found)**	**Implementation / Performance (Not Found)**	**ESL Approved Criteria**
Section 4:			
Section 5:			
ANSI/NCSL Z540 Requirements:	**Desk Review / Compliance (Not Found)**	**Implementation / Performance (Not Found)**	**ESL Approved Criteria**
Part I, Sections:			
Part II, Sections			

Appendix L – NQA- Third Party Audit Review Evaluation Form (Continued)

Other Requirements:	**Desk Review / Compliance (Not Found)**	**Implementation / Performance (Not Found)**	**ESL Approved Criteria**
Specification or Statement of Work No.:			
Cost avoidance documents complete within MSL: ☐ Print Name : Signature: Date:			
Comments:			
I have reviewed the audit records submitted and determined that the audit meets the requirements of the _____ Procurement Documents. Audit Team Lead Name: _____ Signature: _____ Date: _____ QA Manager/Director Name: _____ Signature: _____ Date: _____			

Appendix M – NAP-401.1 – Third Party Audit Review Evaluation Form

3rd Party Review Performed by Co. Name:	**Contractor**	**Review Identification:**		**3rd Party Reviewer (ATL):**
Audit Performed by Co. Name: **<DOE Site (i.e. SRS) >**	**On-site audit dates:**	**Audit No.:** **<DOE Site Audit # Reviewed>**		**Audit Team Leader:** **<DOE Site Audit Team Lead>**
Supplier:		**Service/Capabilities:**		
Address:		**City:**	**State:**	**Zip Code:**
Supplier Contact:		**Phone No.:**		
Supplier's Current QA Manual Title and Basis:		**Rev & Issue Date:**		

Evaluation Criteria:		
☐ NAP-401.1_____	☐ DOE O 414.1_____	
☐ Other: Supplier's Current QA Manual Title, Rev, and Issue Date: _____		

NAP – 401.1 Requirements:	**Desk Review / Compliance (Not Found)**	**Implementation / Performance (Not Found)**	**ESL Approved Criteria**
Requirement 2.1			
Requirement 2.2: ☐ 2.2.1 ☐ 2.2.2			
Requirement 2.3			
Requirement 2.4: ☐ 2.4.1			
Requirement 2.5			
Requirement 2.6			
Requirement 3.0: ☐ 3.1 ☐ 3.1.1 ☐ 3.1.2 ☐ 3.1.3			
Requirement 3.2			
Requirement 3.3: ☐ 3.3.1 ☐ 3.3.2 ☐ 3.3.3 ☐ 3.3.4 ☐ 3.3.5 ☐ 3.3.6 ☐ 3.3.7 ☐ 3.3.8 ☐ 3.3.9			
Requirement 3.4			
Requirement 3.5			

Appendix M – NAP-401.1 – Third Party Audit Review Evaluation Form (Continued)

NAP – 401.1 Requirements:	**Desk Review / Compliance (Not Found)**	**Implementation / Performance (Not Found)**	**ESL Approved Criteria**
Requirement 3.6: ☐ 3.6.1 ☐ 3.6.2 ☐ 3.6.3 ☐ 3.6.4 ☐ 3.6.5			
Requirement 3.7: ☐ 3.7.1 ☐ 3.7.2 ☐ 3.7.3 ☐ 3.7.4 ☐ 3.7.5 ☐ 3.7.6 ☐ 3.7.7			
Requirement 3.8: ☐ 3.8.1 ☐ 3.8.2			
Requirement 3.9: ☐ 3.9.1 ☐ 3.9.2			
Requirement 3.10			
Requirement 3.11: ☐ 3.11.1 ☐ 3.11.2			
Requirement 3.12: ☐ 3.12.1 ☐ 3.12.2			
Requirement 3.13			
Requirement 3.14			
Requirement 3.15: ☐ 3.15.1 ☐ 3.15.2 ☐ 3.15.3 ☐ 3.15.4 ☐ 3.15.5 ☐ 3.15.6 ☐ 3.15.7			
Requirement 3.16			
Other: O 414.1D – S/CI			
Other Requirements:	**Desk Review / Compliance (Not Found)**	**Implementation / Performance (Not Found)**	**ESL Approved Criteria**

Third Party Review Completed

Audit Team Lead Name: Signature: Date:

MSL Submission

Cost avoidance documents complete and attached: ☐

Print Name: Signature: Date:

Comments:

Verification that Audit File(s) is complete and ready for submittal to MASL:

Audit Team Lead Name: Signature: Date: