

Ownership matrix	RPP-27195
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1.0 PURPOSE AND SCOPE

(7.1.1)

This procedure applies to subcontracts and purchase orders (POs) that require vendor/procurement record information (submittals) be submitted to Washington River Protection Solutions, LLC (WRPS) for review/approval, or as vendor information prior to final acceptance by WRPS of a subcontractor's product or service. This process provides a consistent document control method for submitting, processing, and capturing vendor submittals and other associated documents.

Design documents submitted by vendors that will be prepared and approved using Tank Operations Contractor (TOC) procedures, and issued through the document control system, shall be listed on the Master Submittal Register/Master Submittal Log (MSR/MSL). The submittals may be categorized as either information only (INF/REC), or for review and approval (APP) at the discretion of the Responsible Person (RP). The design document descriptions may be general categories or specific individual activities as determined by the RP.

This procedure also applies to previously submitted vendor information under the cancelled TFC-ENG-DESIGN-C-21.

2.0 IMPLEMENTATION

This procedure is effective on the date shown in the header and applies to WRPS subcontracts and POs with a notice to proceed date after the effective date of this procedure.

3.0 RESPONSIBILITIES

3.1 Buyers

Responsible for the overall subcontract/PO and incorporation of MSR/MSL revisions to the subcontract/PO.

3.2 Buyer Technical Representative

Makes applicable revisions to the MSR/MSL and includes a Contract Change Request (CCR). Tracks MSR/MSL and vendor submittals to ensure all submittals are submitted per the MSR/MSL.

3.3 Responsible Person

Identifies all the required submittals on the MSR/MSL and ensures those submittals are processed in accordance with this procedure.

3.4 WRPS Corporate Records Specialist

Submits radiographs and reader sheets to the Records Holding Area.

3.5 ^WRPS Scanning

Moves closed subcontracts from the Procurement Staging area to the appropriate file folder within the Integrated Document Management System (IDMS).

Additional responsibilities are contained within Section 4.0.

4.0 PROCEDURE

The RP is responsible/accountable for identifying all the required submittals on the MSR/MSL and ensuring those submittals are processed in accordance with this procedure. See Figure 1 for decision guidance and process. Technical Owners (TOs) are responsible for a specific submittal(s) as identified on the MSR/MSL by the RP. This includes receipt of the submittal for review and completing that review. The RP may also be the TO on a submittal.

Available SmartPlant^{®1} Foundation (SPF) reports to aid in managing subcontracts include the following:

- Working Submittals
- When Required Report
- Submittal Schedule Report
- Submittal Progress Report by Contract Number
- Overdue Submittals by Contract Number
- Submittals Due in 30 Days
- Master Submittal Log Report.

Descriptions of what each report provides may be found on the SPF website.

Work conducted on off hours will be processed through the system the next working day by the RP, TO, Buyer, or Buyer's Technical Representative (BTR).

The RP/TO will contact a Document Service Center (DSC) to expedite a submittal.

At any time an RP, TO, Buyer, or BTR wants to submit documentation related to the subcontract/PO for capture and retention, he/she must either provide a hard copy to the DSC or send the electronic version to ^TOC Vendor, ^LAWPS Vendor (for LAWPS subcontracts), or ^WRPS C&C Document Control (for Construction subcontracts). The subcontract/PO number must always accompany the material being provided. However, all submittals must follow the subcontracts requirements for submittal to the respective DSC accompanied by an Incoming Letter of Transmittal (ILOT).

As a matter of routine practice, regardless of whether an MSR is used, MSA Acquisition Verification Services scans all procurement documentation received with purchase order deliverables, including completed Quality Assurance Inspection Plans, and submits to WRPS Document Control for processing in support of this procedure.

¹ SmartPlant[®] is a registered trademark of Intergraph, Corporation of Madison, Alabama.

4.1 Initiation of Submittal Process

NOTE 1: Statements of Work (SOWs) may be accessed using the SOW template website, found at WRPS – Departments & Services – Business Financial – Procurement – BTR Information – Templates and Timeframes, or for construction, WRPS – Ops & Engineering – Tank Farm Projects – Construction.

NOTE 2: Material Requisitions (MRs) are initiated using Enterprise Asset Management.

- Responsible Person
1. Complete a Contract Requisition or MR per TFC-BSM-CP_CPR-C-05 and TFC-BSM-CP_CPR-C-06, respectively.

NOTE: If performing a Construction subcontract, the MSL is an attachment to the SOW. The RP will complete the MSL and identify a TO for each submittal.

2. Complete the MSR (A-6005-317) to identify required submittals and identify a TO for each submittal.
 - a. If completing Template A for Construction subcontracts, use the MSL (Figure 2) of the Construction SOW Template A to identify required submittals (Figure 2 is a sample of the MSL).

NOTE: The following are examples of items that may be on the MSR/MSL:

- Drawings
- Reports
- Requests for Information (RFIs)
- Schedules
- Non-destructive evaluation information
- Radiographs and reader sheets.

3. Attach the MSR/MSL to the applicable SOW/MR for processing by Procurement.

- Procurement
4. Once the solicitation and pre-proposal processes are complete, receive vendor proposals with MSR (A-6005-317) in accordance with TFC-BSM-CP_CPR-C-05.

NOTE 1: All revisions of the MSR and Vendor Submittal Distribution Matrix (VSDM) must be sent to DSC for capture.

NOTE 2: The VSDM is not used for Construction subcontracts.

NOTE 3: Prior to award, the MSR may need to be revised for clarification of submittals or change in strategy.

- Responsible Person
5. After the PO or subcontract has been awarded, complete the VSDM (A-6005-320) and the MSL and return to Procurement.

- a. When completing an MSL, return to DSC with the distribution identified for processing.
- Procurement 6. Submit the final MSR (A-6005-317) and VSDM (A-6005-320) to the DSC ^TOC Vendor or ^LAWPS Vendor (for LAWPS subcontracts) for all other subcontracts/purchase orders in accordance with TFC-BSM-CP_CPR-C-05.
- DSC 7. Assign a number in accordance with Figure 3.
- 8. Load information provided on the MSR (A-6005-317)/MSL (Figure 2) into SPF as applicable in preparation to receive submittals.

4.2 Incoming Submittal Process

NOTE: The submittal may be electronic and/or hard copy.

- DSC 1. Receive the submittal from the vendor, including the TOC ILOT (A-6005-315, -315.1, -315.2, or -315.3).
- 2. Sign as DSC receipt acknowledgement either electronically or in wet signature and return to vendor.
- 3. Log and index the submittal.

NOTE: A Supplier Submittal form SPF-022 will accompany each submittal for review/approval/information within the workflow. If there are outside reviewers not connected to SPF, a Supplier Submittal form A-6003-219 must be used.

- 4. Initiate Vendor Submittal Workflow in SPF for the review/approval/information only notification of submittal as identified, using the Construction & Commissioning MSL and for all other subcontracts using the MSR (A-6005-317) and VSDM (A-6005-320).

NOTE: Radiographic film (RF) material shall be provided in hard copy format only and must have the reader sheet.

- 5. If the submittal is RF, the following process shall be followed:
 - a. Receive the RF from the vendor including the TOC ILOT (A-6005-315) and reader sheets.
 - b. Log and index the received RF.
 - c. Notify the identified reviewer(s) of the received RF and that it is available for checkout at the specified DSC for the required review.

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| Reviewer | 6. The reviewer(s) shall: |
| | a. Sign out the RF from the DSC. |
| | b. Sign in the RF upon its return to the DSC. |
| | c. Provide the dispositioned and signed Supplier Submittal form (A-6003-219) to the DSC. |
| | d. Send the RF and reader sheets to the WRPS Corporate Level Records Specialist. |
| WRPS Corporate Level Records Specialist | 7. Upon completion of the review, process the RF to the Records Holding Area (RHA). |
| Responsible Person/Technical Owner | 8. Receive the submittal from a DSC for review and/or approval. |

4.3 Review and Concurrence Process

4.3.1 General

It is important to understand what the submittal status codes mean and when to assign each one. See Figure 4 for detailed descriptions of the status codes and when to use each code. Status Codes 1, 2, and 4 are common but special actions are required when a submittal is assigned a Status Code 3.

To ensure a subcontractor/vendor is proactive in resolving submittals coded 3, steps 1 through 3 below may be utilized.

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| Responsible Person | 1. When Status Code 3 is assigned, notify the vendor or subcontractor via e-mail or telephone that a submittal has been assigned a Status Code 3. |
| | 2. If the Cognizant Engineer is unsuccessful in obtaining a corrected submittal, notify the Procurement Specialist in writing (e-mail is sufficient). |
| | a. Include ^TOC Vendor or ^LAWPS Vendor (for LAWPS subcontracts) on distribution of the submittal requirement, the action already taken to resolve the issues associated with the submittal, and the desired outcome from the vendor or subcontractor. |
| Procurement Specialist | 3. Contact the vendor or subcontractor in writing (e-mail is sufficient; include ^TOC Vendor or ^LAWPS Vendor (for LAWPS subcontracts) on distribution and obtain the vendor's commitment to submit a compliant submittal in accordance with the special provision entitled, "Document Transmittals – Subcontractor Submittal Register," and |

General Provision 2.20, SUBCONTRACTOR Generated Documentation.

- a. If the subcontractor or vendor fails to deliver an acceptable submittal, coordinate with the RP or TO to determine whether cancellation of the submittal is appropriate. The TO will notify the RP if a submittal requires cancellation.
 - 1) To cancel a submittal, see Section 4.5.
- b. Refer to TFC-BSM-CP_CPR-P-04, Section 4.9, if initiation of the termination process is determined to be appropriate.

4.3.2 For Other than Construction Subcontracts

- Responsible Person 1. Confirm reviewers and complete task in vendor submittal workflow.

NOTE: The RP has authority to add to or deviate from the reviewers listed to ensure a thorough review of the submittal.

- Reviewers 2. Review the submittal.
- a. Provide comments.
 - b. Recommend status on submittal.
 - c. Complete workflow task.

NOTE: If the comment is “No Comment,” the recommended status will be a “1.”

- Responsible Person 3. Review comments and recommended statuses from all reviewers.

NOTE: Figure 4 provides detailed descriptions of the status codes and when to use each code.

- 4. Resolve any discrepancies between review comments as necessary prior to submittal being returned.

NOTE 1: Formal Design Review Packages will have one submittal status assigned to the package.

NOTE 2: Section 4.10 provides further review of the design engineering and fabrication process.

- 5. Update the submittal status for the submittal in SPF.
- 6. Identify if the submittal proposes deviations from subcontract documents (released for constructions drawings, specifications, etc.).
 - a. Indicate if changes are required to subcontract documents.

Responsible Person/Technical Owner 7. Complete the workflow task to return the submittal to DSC.

DSC 8. Ensure submittal has been updated and return to vendor.

4.3.3 Construction Subcontracts

NOTE: Figure 4 provides detailed descriptions of the status codes and when to use each code.

Responsible Person/Technical Owner (as noted on MSL) 1. Review the submittal for compliance with the specifications and other subcontract documents using the SPF vendor workflow.

- a. Record comments in the vendor workflow, which will produce SPF-022 Supplier Submittal form.
- b. Identify if the submittal proposes deviations from subcontract documents (released for construction drawings, specifications, etc.).
- c. Indicate if changes are required to subcontract documents.
- d. Indicate any supplier action required and submittal disposition on the Supplier Submittal form and sign and date.
- e. Complete the workflow to return the completed SPF-022 Supplier Submittal form to DSC.

DSC 2. Process submittal.
3. Return to vendor.

4.4 Outgoing Submittal Process for Construction Subcontracts

DSC 1. Receive a dispositioned and signed submittal form from the RP/TO.
2. Review the submittal for inconsistencies, including submittal status.
3. Contact the RP/TO for a path forward regarding the inconsistencies.
4. Log and index the submittal.
5. Perform required distribution.

NOTE: The BTR must be copied on all transmittals of dispositioned submittals.

6. Transmit submittal back to the vendor using the TOC Outgoing Transmittal (A-6003-416) or e-mail with the pertinent information.

4.5 Subcontract/Purchase Order Submittal Closure Process

- Responsible Person
1. Request a report from a DSC or run reports from SPF that list all submittals and associated status codes.
 2. Review the report for any submittals that have '2' and '3' status codes.
 3. Request a report or run a report from SPF for working and blank.

NOTE 1: During the course of the subcontract/PO, submittals listed on the MSR/MSL may have been determined not applicable and/or cancelled. In order to close out/void those submittals and those coded with a '2' or '3' status, approval is required via the following methods.

NOTE 2: The Procurement Specialist is required to sign the RFI form when the MSL form is updated to remove submittals.

4. Work with a DSC to resolve and close out those submittals coded as "Approved with Comments, Resubmit" (2), "Not Approved, resubmit" (3), and working.

NOTE: Multiple submittals may be placed on the TOC Submittal Supersede/Cancellation form for an individual subcontract.

- a. Complete a TOC Submittal Supersede/Cancellation Form (A-6005-318) for each.
- b. Obtain Procurement Specialist and BTR approvals of the form for any changes to the MSR.

NOTE: When an RFI (A-6003-417) is used, the Procurement Specialist and BTR must approve.

- c. Request vendor to submit an RFI (A-6003-417) listing each submittal and the reason for proposed waiver.

NOTE: The RFI is the required method for all Construction subcontracts. The RFI is approved by the BTR, the Procurement Specialist, and the RP/TO on distribution.

- DSC
5. Ensure receipt of the applicable document for approval to void the applicable submittals.
 6. Update applicable submittal status codes as indicated on form.
 7. Notify the RP that the status codes have been updated.

- Responsible Person
8. Request/run another report to verify codes are at '1' and '4' from a DSC.

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| | 9. | Upon verification, notify the cognizant Procurement Specialist that the subcontract may be closed using applicable documentation required by TFC-PRJ-CM-C-15, TFC-BSM-CP_CPR-P-04, or TFC-PRJ-CM-C-08. |
| Procurement | 10. | After notification that a subcontract/purchase order may be closed, proceed to close subcontract and move to Final Record staging area. |
| ^WRPS Scanning | 11. | Retrieve, index, and place in appropriate file. |

4.6 Request for Information

NOTE: The WRPS RFI Form (A-6003-417) shall be used on all subcontracts/purchase orders awarded by WRPS.

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| DSC | 1. | Upon receipt of RFI (A-6003-417), log the receipt, including the date the response is requested, in SPF. |
| | 2. | Make distribution as required to RP/TO. |
| Responsible
Person/Technical
Owner | 3. | Review RFI and provide responses accordingly. <ul style="list-style-type: none"> a. If the RFI identifies any inconsistencies between existing facility engineering drawings and facility configuration, immediately write a Problem Evaluation Request to initiate disposition of this issue. |

NOTE: The BTR notifies the Procurement Specialist of the need/reason for the change and initiates the CCR.

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| | | <ul style="list-style-type: none"> b. If the RFI requires a funding change and the need for change is identified by an RP other than the BTR, notify the BTR of the required change. <ul style="list-style-type: none"> 1) Request the BTR to initiate a CCR in accordance with TFC-BSM-CP_CPR-C-03. c. Obtain all appropriate Subject Matter Expert reviews and approvals on the RFI (e.g., Engineering for technical issues, Quality Assurance for quality issues). d. Provide signature concurrence of the proposed disposition. |
| Responsible
Person/BTR | 4. | Review the response. <ul style="list-style-type: none"> a. Sign the RFI. b. Return to the DSC for distribution either in hard copy or electronically, using ^TOC Vendor, ^LAWPS Vendor (for LAWPS subcontracts), or ^WRPS C&C Document Control (for Construction subcontracts). |

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- DSC
5. Verify that a disposition is noted on the RFI form, that it has been signed and dated, and is complete.
 6. Log the remainder of the information in SPF.
 7. Make required distribution as per the RP.

4.7 Outgoing Correspondence Process

When correspondence is used during the lifecycle of a subcontract/requisition or PO, the originator shall determine if they are record material in accordance with TFC-BSM-IRM_DC-C-02, Attachments A and C.

- Responsible Person/Technical Owner
1. Generate outgoing correspondence pertaining to a subcontract or purchase order.
 2. Forward outgoing correspondence to a DSC.

NOTE 1: All correspondence subject lines must include the subcontract number/PO with the subject.

NOTE 2: If applicable to a submittal, the submittal documentation shall be stated in the subject line.

3. If the RP determines an e-mail used to transmit information to a vendor is a record, add a DSC as a recipient at ^TOC Vendor, ^LAWPS Vendor (for LAWPS subcontracts), or ^WRPS C&C Document Control (for Construction subcontracts).
- DSC
4. Receive the outgoing correspondence.

NOTE: Outgoing correspondence addressed to the U.S. Department of Energy Office of River Protection shall be assigned a number in accordance with TFC-BSM-AD-C-03.

5. Assign a correspondence number per Figure 3.
6. Log the correspondence.
7. Distribute to required recipients.

4.8 Incoming Correspondence Process

When correspondence is used during the lifecycle of a subcontract/requisition or PO the originator shall determine if they are record material in accordance with TFC-BSM-IRM_DC-C-02, Attachments A and C.

- DSC
1. Upon receipt of incoming correspondence, assign a number per Figure 3.

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| | 2. | Log the correspondence. |
| | 3. | Distribute via e-mail. |
| | 4. | Forward the correspondence to the RP/TO addressee either in hard copy or electronically. |
| Responsible Person/Technical Owner | 5. | Receive correspondence with distribution sheet. |
| | 6. | Identify any action and additional distribution and returns distribution sheet to a DSC. |
| DSC | 7. | Make additional distribution as required. |

4.9 Document Transmittal Form Process

NOTE: If WRPS personnel send the TOC Outgoing Transmittal Form required by the subcontract/PO to the vendor, ^TOC Vendor, WRPSCCDocControl@rl.gov, ^LAWPS Vendor (for LAWPS subcontracts), or ^WRPS C&C Document Control (for Construction subcontracts) should be placed on distribution.

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| Responsible Person | 1. | Request a DSC to complete a TOC Outgoing Transmittal Form (A-6003-416 or A-6003-416.1 for LAWPS), or send an e-mail each time a document (e.g., drawing, Engineering Change Notice, specification, permit, procedure) is transmitted to a vendor. |
| | 2. | Provide the following information as applicable: <ul style="list-style-type: none"> • Subcontract number/PO number • Project number • Action for suppliers • Quantity, document number, revision number, copy number, and brief description or document title • Any special instructions or comments • Required distribution. |
| DCS | 3. | Transmit documents per required distribution. |

4.10 Other Vendor Information Not Identified on the Master Submittal Register or Master Submittal Log

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| Responsible Person | 1. | Receive vendor information. |
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2. Review vendor information for completeness, including the number of copies ordered, if known.
3. Determine vendor information acceptability.
 - a. Ensure that the information includes detailed installation, operating, and maintenance information for the applicable equipment, as required.
4. If vendor information is incomplete or missing important manuals, contact the Procurement Specialist to request additional/revised vendor information.
5. Complete the Vendor Information Transmittal form (A-6003-966).
 - a. Organize the vendor information in a logical manner.
 - b. Document on a Vendor Information Transmittal form (A-6003-966).
 - c. Use a continuation form if needed.
 - d. Follow the form instructions to fill in all fields.
6. Identify distribution to ensure that adequate copies are provided.
7. Ensure vendor “proprietary information,” if any, is clearly marked.
8. Provide approved Vendor Information Transmittal form and vendor information to DSC for release through SPF and collection as a record in IDMS.

DSC

9. Assign Vendor Information (VI) number using Figure 3.

Responsible Person

10. Determine if the vendor recommendations for handling, storage, installation, preventive maintenance, corrective maintenance, operation, equipment/system design changes, and testing have been adequately translated to other controlling documents as follows.
 - a. Evaluate any requirements applicable during handling and/or receipt inspection to verify they are addressed.
 - b. Process any maintenance procedures by reviewing to verify that appropriate handling requirements during installation are specified (TFC-OPS-MAINT-C-01).
 - c. Process any identified equipment or system design changes in accordance with the engineering change process (TFC-ENG-DESIGN-C-06).

- d. Process identified changes or additions to the preventive maintenance program in accordance with the maintenance procedure change process (TFC-OPS-OPER-C-13).
- e. Process any identified operating procedure alterations in accordance with the operations procedure change process (TFC-OPS-OPER-C-13).
- f. Process any drawings/documents within the vendor file that should be incorporated into the drawing control system/ document control system in accordance with the engineering drawing procedure (TFC-ENG-DESIGN-C-09) or TFC-ENG-DESIGN-C-25.

4.10.1 Updating or Changing Vendor Information Other Than Drawings

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| Responsible Person | 1. | Fill out a Vendor Information Transmittal form (A-6003-966). |
| | 2. | Provide the updated vendor information, which may include markups or additional information, and an approved Vendor Information Transmittal form to a DSC for release. |
| DSC | 3. | Process the updated information. |
| Responsible Person | 4. | Review the updated VI for any impacts. |

4.10.2 Changing Vendor Information Drawings

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| Responsible Person | 1. | Identify the drawing within the vendor file that needs to be changed. |
| | 2. | Identify that the vendor is available to change the drawing. <ul style="list-style-type: none"> a. Request the vendor to make the change. b. Submit the changed drawing to the vendor file in accordance with this procedure. |

NOTE: Figure 5 provides a flowchart of this section.

- 3. Identify that the vendor is not available to change the drawing, then:
 - a. If the changes need to be under configuration control:
 - 1) Transfer vendor information to a WRPS drawing process using TFC-ENG-DESIGN-C-09
 - 2) Release the drawing using TFC-ENG-DESIGN-C-25.

OR

- b. If the changes need to be under configuration control, develop an “altered item drawing” in accordance with TFC-ENG-STD-10.

OR

- c. If the changes are anticipated to be one time only AND the equipment is installed in the facility:
- 1) Prepare pen-and-ink changes to the vendor drawing
 - 2) Print name/sign/date the change
 - 3) Obtain a print name/signature/date for an unreviewed safety question review and/or process hazard analysis in accordance with TFC-ENG-SB-C-03 and/or TFC-ENG-DESIGN-C-35, respectively
 - 4) Submit the changed drawing to the vendor file in accordance with this procedure and TFC-ENG-DESIGN-C-25.

OR

- d. If the changes are anticipated to be one time only AND the equipment is not installed in the facility:
- 1) Prepare pen-and-ink changes to the vendor drawing
 - 2) Print name/sign/date the change
 - 3) Submit the changed drawing to the vendor file in accordance with this procedure and TFC-ENG-DESIGN-C-25.

4.10.3 Canceling/Voiding of Vendor Information Files

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| Responsible Person | 1. Initiate a Vendor Information Transmittal form to cancel/void vendor information files when hardware is excessed or otherwise disposed of. |
| | 2. Provide a copy of the Vendor Information Transmittal form to a DSC. |
| DSC | 3. Process cancellation/voiding. |

5.0 DEFINITIONS

Associated Documents. Ancillary documents and records as determined by the RP, which may include RFIs, nonconformance reports (NCRs), quality surveillance reports (QSRs), supplier corrective action reports (SCARs) associated with the procurement, some of which may be transmitted by the vendor (e.g., NCRs and RFIs).

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Before Final Payment (P). This represents that the MSR/MSL items have been submitted the subcontractor through ^TOC Vendor, ^LAWPS Vendor (for LAWPS subcontracts) or ^WRPS C&C Document Control for Construction subcontracts and approved by WRPS prior to final payment being authorized for the fabrication of the product, part, or equipment.

Before Installation (I). This represents that the MSR/MSL item must be submitted by the Subcontractor through ^TOC VENDOR or ^LAWPS Vendor (for LAWPS subcontracts) or ^WRPS C&C Document Control for Construction subcontracts and approved by WRPS prior to starting the installation of the product, part, or equipment.

Before Use (U). This represents that the MSR/MSL have been submitted through ^TOC Vendor, ^LAWPS Vendor (for LAWPS subcontracts) or ^WRPS C&C Document Control for Construction subcontracts. Item must be approved by WRPS prior to using the product, part, or equipment.

Correspondence. Correspondence, as referred to in this procedure, is “project-related correspondence.” This includes, but is not limited to, incoming and outgoing letters, meeting minutes, memorandums, and electronic e-mail.

Document Service Center (DSC). This function supports the vendor process. The following groups function as Document Service Centers: Construction Document Control, LAWPS Document Control, and the Document Control located in Fermi.

Master Submittal Register (MSR) or Master Submittal Log (MSL). Includes all required submittals listed in the Subcontract/PO, construction specification(s), or other pertinent design media (e.g., engineering change notices).

Prior to Fabrication (PF). This represents that the MSR/MSL item must be submitted by the Subcontractor through ^TOC VENDOR or ^LAWPS Vendor (for LAWPS subcontracts) or ^WRPS C&C Document Control for construction subcontractors and approved by WRPS prior to starting the fabrication of the product, part, or equipment.

Prior to Procurement (PP). This represents that the MSR/MSL item must be submitted by the Subcontractor through ^TOC VENDOR or ^LAWPS Vendor (for LAWPS subcontracts) and approved by WRPS prior to the vendor purchasing any materials for the product, part, or equipment.

Prior to Shipment (PS). This represents that the MSR/MSL items must be submitted by the Subcontractor through ^TOC VENDOR or ^LAWPS Vendor (for LAWPS subcontracts) or ^WRPS C&C Document Control for construction subcontractors and approved by WRPS prior to shipping of the product, part, or equipment.

Prior to Testing (PT). This represents that the MSR/MSL item must be submitted by the Subcontractor through ^TOC VENDOR or ^LAWPS Vendor (for LAWPS subcontracts) or ^WRPS C&C Document Control for construction subcontractors and approved by WRPS prior to starting the testing of the product, part, or equipment.

Responsible Person. They are individuals who by education, training, and/or experience are a recognized expert on a particular subject, topic, or system. Responsible persons may include

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Subject Matter Experts (SMEs), Buyer’s Technical Representatives (BTRs), Responsible Engineers, Construction Manager, Construction Engineer, or Project Manager. They may also act as a TO on a submittal. See Figure 1 for decision guidance and they are qualified to identify required submittals pertaining to a subcontract and review subcontract material submitted per requirements.

Statement of Work (SOW) Coordinator. An individual that authors the SOW. This person coordinates with the various RPs as applicable.

Subcontract Closeout. Procurement and the RP will use SPF to aid in closing out the subcontract submittals and the subcontract.

Submittal. Any document identified on the Master Submittal Register/List that the vendor is contractually required to provide for information, review, or approval.

Technical Owner (TO). These are individuals that are identified by the RP to review submittals submitted per requirements held within the subcontract. They are individuals who by education, training, and/or experience are a recognized expert on a particular subject, topic, or system. RPs may include Subject Matter Experts (SMEs), Buyer’s Technical Representatives (BTRs), Responsible Engineers, Construction Manager, Construction Engineer, or Project Manager. They may be an individual that receives submittals from DSC and acts as an expeditor in the processing of submittals. Construction & Commissioning Document Control (CCDC), LAWPS Document Control or the Document Control located in Fermi may act as the expeditor if requested.

Transmittal. Method to transmit documents to the vendor.

Upon Date Identified (UDI). This represents that the MSR/MSL item must be approved by WRPS based on the date identified on the MSR/MSL. If this is used, there must be a date.

Vendor. Refers to any seller, subcontractor, supplier, or sub-subcontractor providing equipment, materials, services, or a combination thereof under legal agreement (purchase order, contract, etc.) with the TOC or a client.

Vendor Information. Documents including test documents, drawings, and or/sketches provided by the vendor or equipment supplier that describes the equipment handling design, storage, installation, operation, or preventive or corrective maintenance processes, and or/design parameters. These are typically maintenance manuals, operating manuals, and installation information for commercially available systems or components.

With Shipment (WS). This represents that the MSR/MSL item must be submitted by the vendor through ^TOC VENDOR or ^LAWPS Vendor (for LAWPS subcontracts) or ^WRPS C&C Document Control and included with the shipment of the product, part, or equipment.

WRPS Corporate Records Specialist. A records specialist assigned directly to the Chief Information Officer Office who works for the WRPS Records Officer.

6.0 RECORDS

The following records may be generated by the performance of this procedure.

- Master Submittal Register (A-6005-317)
- Master Submittal Log (Appendix E)
- Request for Information (RFI) (A-6003-417)
- Outgoing Correspondence
- Supplier Submittals
- Emails used to document concurrence or decisions pertaining to submittals
- Vendor Submittal Distribution Matrix (A-6005-320) or equivalent
- TOC Submittal Supersede/Cancellation Form (A-6005-318)
- TOC Incoming Letter of Transmittal (A-6005-315)
- TOC Outgoing Document Transmittal (A-6003-416)
- TOC Outgoing Document Transmittal for LAWPS (A-6003-416.1)
- Supplier Submittal (A-6003-219)
- Supplier Submittal (SPF-022)
- Vendor Information Transmittal Form (A-6003-966).

The record custodian identified in the Company Level Records Inventory and Disposition Schedule (RIDS) is responsible for record retention in accordance with TFC-BSM-IRM_DC-C-02.

7.0 SOURCES

7.1 Requirements

- 7.1.1 TFC-PLN-02, "Quality Assurance Program Description," Section 17.0, "Quality Assurance Records."

7.2 References

- 7.2.1 TFC-BSM-AD-C-03, "Correspondence Preparation and Control."
- 7.2.2 TFC BSM CP_CPR-C-03, "Buyer's Technical Representative."
- 7.2.3 TFC-BSM-CP_CPR-C-05, "Procurement of Materials and Services."
- 7.2.4 TFC-BSM-CP_CPR-C-06, "Procurement of Materials."
- 7.2.5 TFC-BSM-CP_CPR-C-18, "Material Control."
- 7.2.6 TFC-BSM-FPM_PR-C-24, "Material and Equipment Staging Area Control."
- 7.2.7 TFC-BSM-IRM_DC-C-01, "Document Control."
- 7.2.8 TFC-BSM-IRM_DC-C-02, "Records Management."

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- 7.2.9 TFC-ENG-DESIGN-C-06, "Engineering Change Control."
- 7.2.10 TFC-ENG-DESIGN-C-09, "Engineering Drawings."
- 7.2.11 TFC-ENG-DESIGN-C-25, "Technical Document Control."
- 7.2.12 TFC-ENG-DESIGN-C-35, "Process Hazard Analysis Determination and Technique Screening."
- 7.2.13 TFC-ENG-SB-C-03, "Unreviewed Safety Question Process."
- 7.2.14 TFC-ENG-STD-10, "Drawing Standard."
- 7.2.15 TFC-OPS-MAINT-C-01, "Tank Operations Contractor Work Control."
- 7.2.16 TFC-OPS-OPER-C-13, "Technical Procedure Control and Use."
- 7.2.17 TFC-PRJ-CM-C-01, "Construction Management."
- 7.2.18 TFC-PRJ-CM-C-03, "Construction Daily Activity & Manpower Reports."
- 7.2.19 TFC-PRJ-CM-C-05, "Construction Meetings."
- 7.2.20 TFC-PRJ-CM-C-08, "Construction Completion and Turnover."
- 7.2.21 TFC-PRJ-CM-C-15, "Construction Subcontract Closeout."
- 7.2.22 TFC-PRJ-CM-C-18, "Development of Technical Requirements for Construction Statements of Work."
- 7.2.23 TFC-PRJ-PC-C-02, "Work Breakdown Structure Development and Administration."
- 7.2.24 WRPS-PER-2012-1436, "NQA-1 Radiographs."
- 7.2.25 WRPS-PER-2013-0729, "Radiograph Processing."
- 7.2.26 WRPS-PER-2013-0332, "Site Specific Equipment."

Figure 1. Vendor Process Decision Guidance and Process.

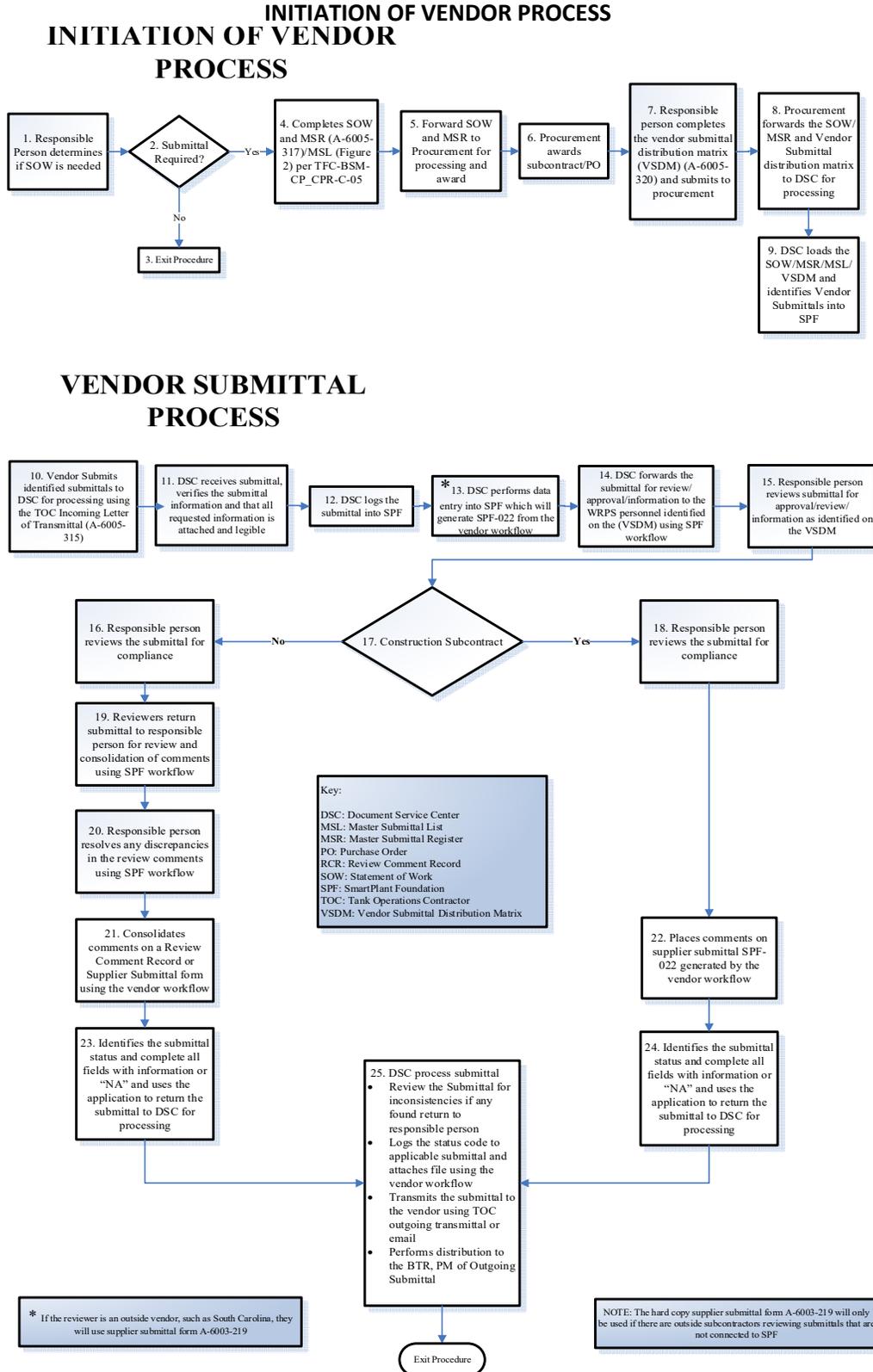


Figure 3. Document Number Formats.

The document numbers are assigned only by Document Service Center or Construction and Commissioning Document Control as seen in Figure 3.1 through 3.51.

	Subcontract/Purchase Order Document Types
AUDIT	
CCD	Construction Completion Document
COO	Certificate of Occupancy
CSCC	Construction Subcontract Closeout Checklist
CSI	Cost Summary Index
DAMR	Daily Activity and Manpower Report
DDL	Design Document List
IC	Incoming Subcontract Correspondence
IPT	Integrated Project Team
LL	Lessons Learned
MISC	Miscellaneous (To be used sparingly)
MM	Designates subcontract meeting minutes when combined with a subcontract number
MSL	Master Submittal Log
MSR	Master Submittal Register
MUD	Mock-Up-Documentation
NCR	Nonconformance Report
OC	Outgoing Subcontract Correspondence
PERMIT	Permits
PHA	Preliminary Hazard Assessment
PHOTO	Photos
QSR	Quality Surveillance Reports
RCS	Request for Construction Services
RFI	Designates Subcontract RFI within the subcontract number
SCAR	Supplier Corrective Action Report
SCHED	Schedule Activities
SDM	Submittal Distribution Matrix
SOW	Statement of Work
SSC	TOC Submittal Supersede/Cancelation Form
SUB	Designates Subcontract Submittal, within the subcontract number
TCC	Designates transfer of care, custody, and control material within the subcontract number
TEST	Test Data, Test Information, Test Reports
TRN	Designates Subcontract Transmittals, within the subcontract number
VI	Designates Subcontract Vendor Information, within the subcontract number
WBS	Work Breakdown Structure

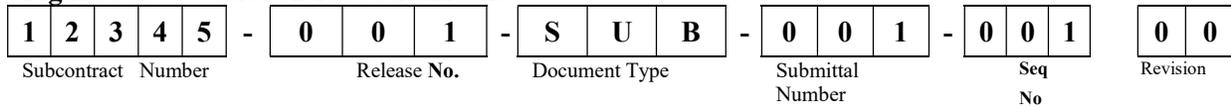
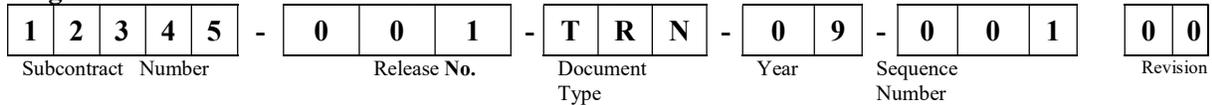
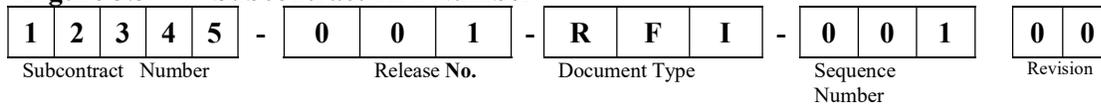
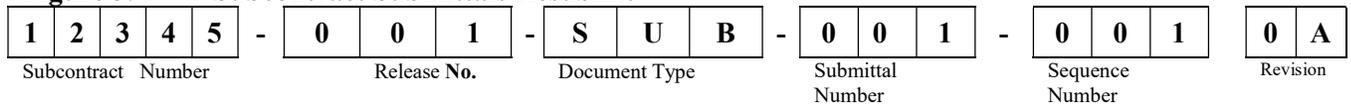
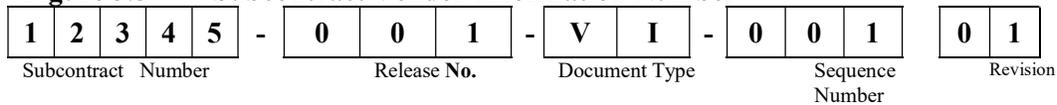
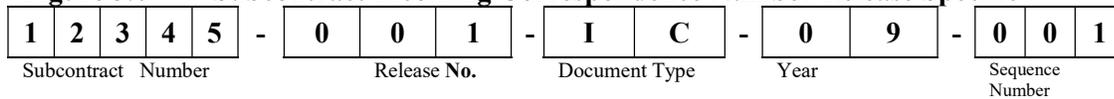
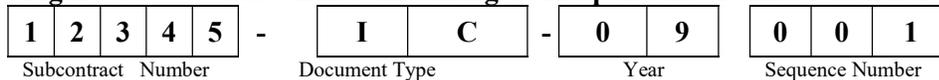
Figure 3. Submittal Number Formats (These Numbers Are Assigned ONLY By Document Service Center or Construction & Commissioning Document Control). (cont.)**Figure 3.1 Subcontract Submittals****Figure 3.2 Subcontract Transmittal Number****Figure 3.3 Subcontract RFI Number****Figure 3.4 Subcontract Submittals Resubmit****Figure 3.5 Subcontract Vendor Information Number****Figure 3.6 Subcontract Incoming Correspondence Number Release Specific****Figure 3.7 Subcontract Outgoing Correspondence Number Release Specific****Figure 3.8 Subcontract Incoming Correspondence Number General**

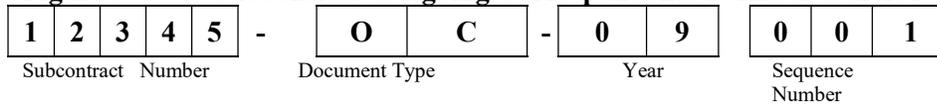
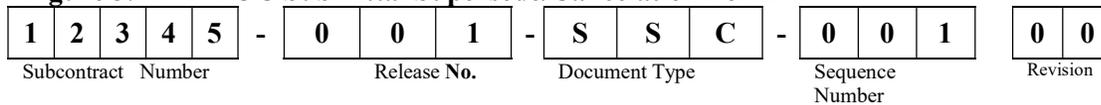
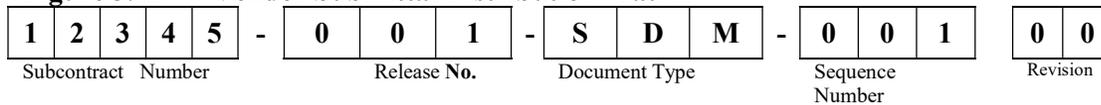
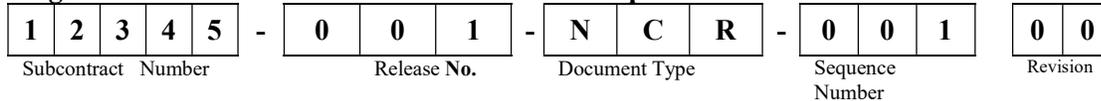
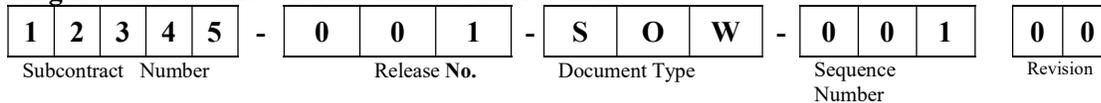
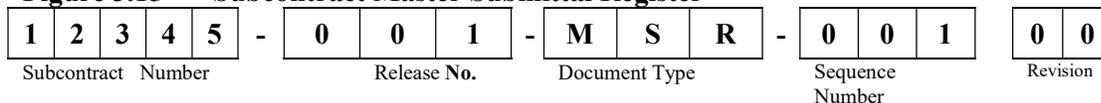
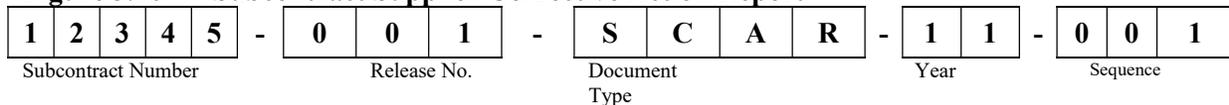
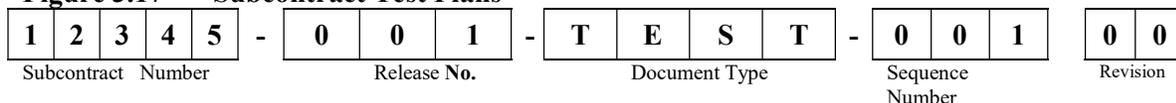
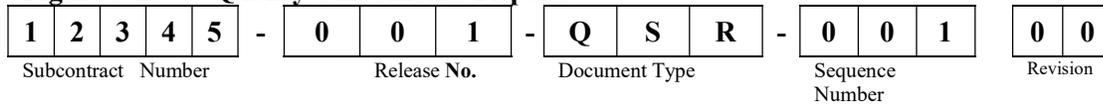
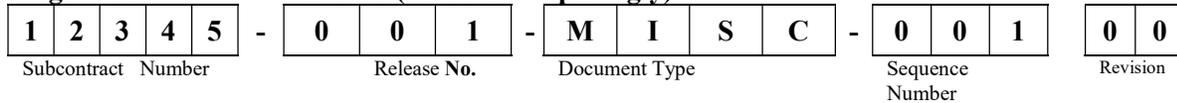
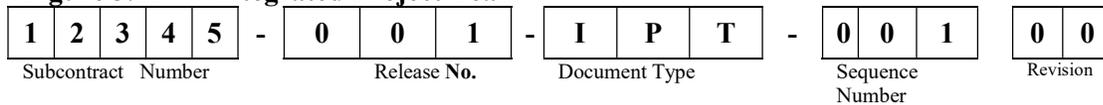
Figure 3. Submittal Number Formats (These Numbers Are Assigned ONLY By Document Service Center or Construction & Commissioning Document Control). (cont.)**Figure 3.9 Subcontract Outgoing Correspondence Number General****Figure 3.10 Subcontract Meeting Minutes Number****Figure 3.11 TOC Submittal Supersede/Cancelation Form****Figure 3.12 Vendor Submittal Distribution Matrix****Figure 3.13 Subcontract Nonconformance Report****Figure 3.14 Subcontract Statement of Work****Figure 3.15 Subcontract Master Submittal Register****Figure 3.16 Subcontract Supplier Corrective Action Report****Figure 3.17 Subcontract Test Plans**

Figure 3. Submittal Number Formats (These Numbers Are Assigned ONLY By Document Service Center or Construction & Commissioning Document Control). (cont.)**Figure 3.18 Quality Surveillance Reports****Figure 3.19 Miscellaneous (To be used sparingly)****Figure 3.20 Audits****Figure 3.21 Integrated Project Team**

NOTE: Purchase Orders may have release numbers; if so, they will follow the release number format identified under subcontracts.

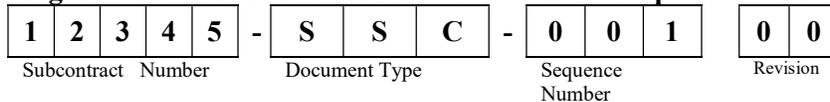
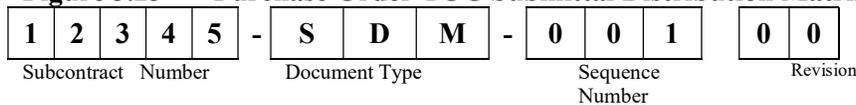
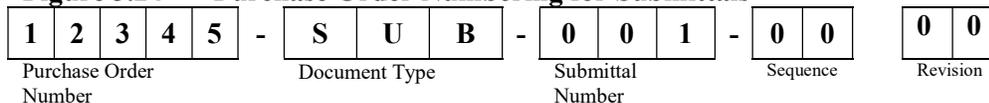
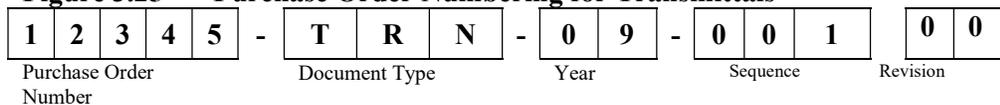
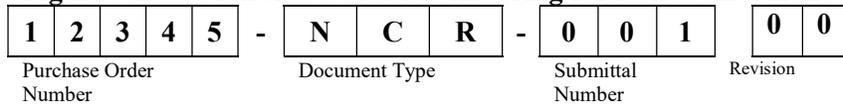
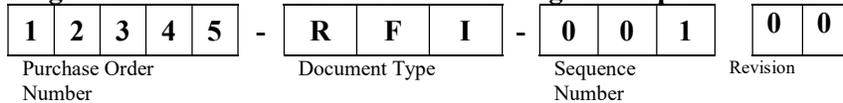
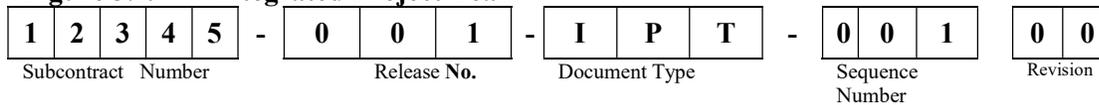
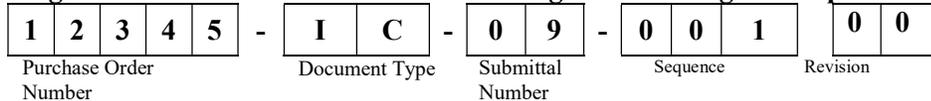
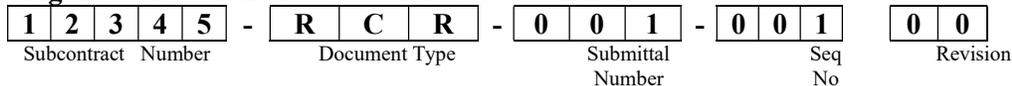
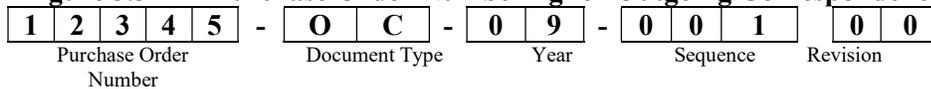
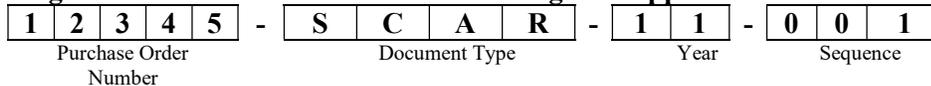
Figure 3.22 Purchase Order TOC Submittal Supersede/Cancelation Form**Figure 3.23 Purchase Order TOC Submittal Distribution Matrix****Figure 3.24 Purchase Order Numbering for Submittals****Figure 3.25 Purchase Order Numbering for Transmittals**

Figure 3. Submittal Number Formats (These Numbers Are Assigned ONLY By Document Service Center or Construction & Commissioning Document Control). (cont.)**Figure 3.26 Purchase Order Numbering for Non-Conformance Report (NCR)****Figure 3.27 Purchase Order Numbering for Request for Information (RFI)****Figure 3.28 Audits****Figure 3.29 Integrated Project Team****Figure 3.30 Purchase Order Numbering for Incoming Correspondence****Figure 3.31 Purchase Order Review Comment Records****Figure 3.32 Purchase Order Numbering for Outgoing Correspondence****Figure 3.33 Purchase Order Numbering for Supplier Corrective Action Report**

NOTE: For Construction Subcontracts ONLY

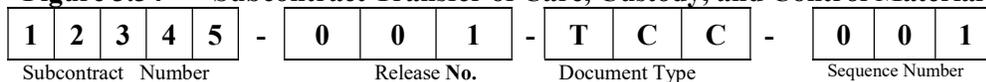
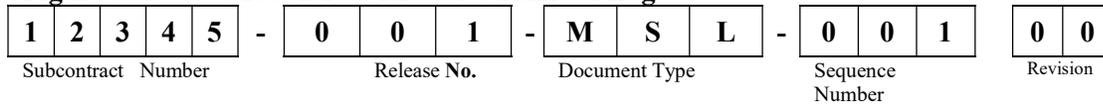
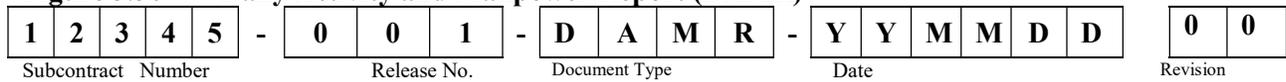
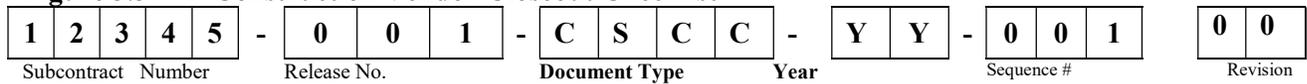
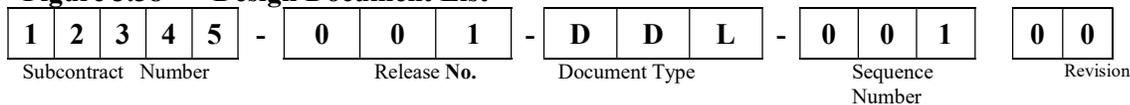
Figure 3.34 Subcontract Transfer of Care, Custody, and Control Material Number

Figure 3. Submittal Number Formats (These Numbers Are Assigned ONLY By Document Service Center or Construction & Commissioning Document Control). (cont.)**Figure 3.35 Subcontract Master Submittal Log****Figure 3.36 Daily Activity and Manpower Report (DAMR)****Figure 3.37 Construction Vendor Closeout Checklist****Figure 3.38 Design Document List**

NOTE: For Construction Subcontracts ONLY

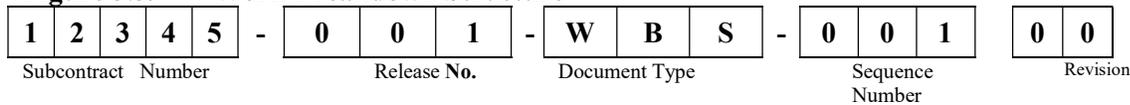
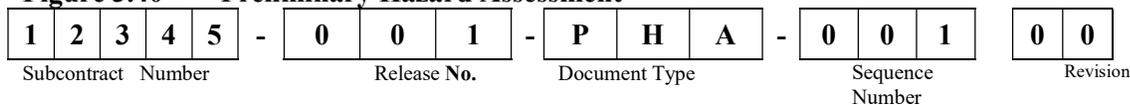
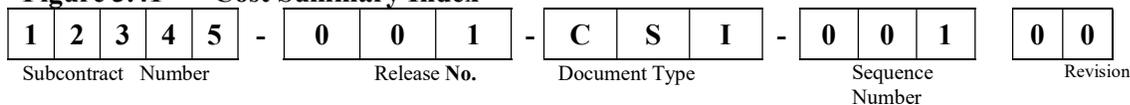
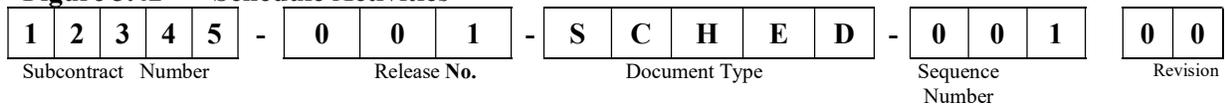
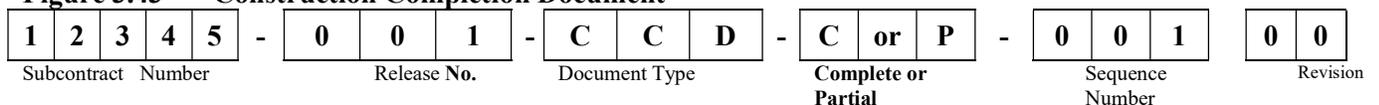
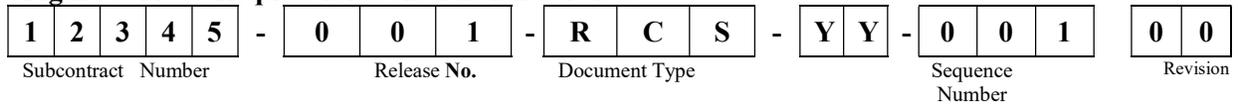
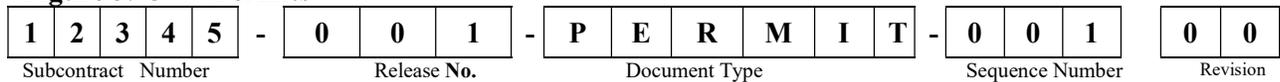
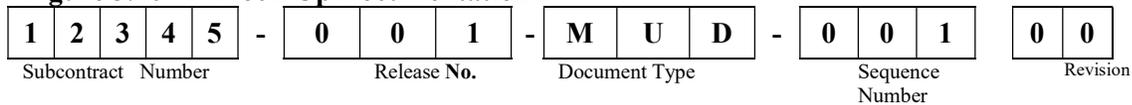
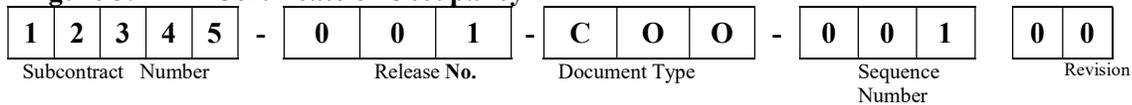
Figure 3.39 Work Breakdown Structure**Figure 3.40 Preliminary Hazard Assessment****Figure 3.41 Cost Summary Index****Figure 3.42 Schedule Activities****Figure 3.43 Construction Completion Document**

Figure 3. Submittal Number Formats (These Numbers Are Assigned ONLY By Document Service Center or Construction & Commissioning Document Control). (cont.)**Figure 3.44 Request for Construction Services****Figure 3.45 Permits****Figure 3.46 Mock-Up Documentation****Figure 3.47 Certificate of Occupancy**

NOTE: For Construction Subcontracts ONLY

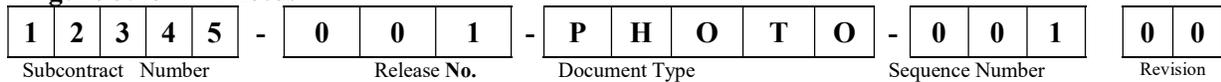
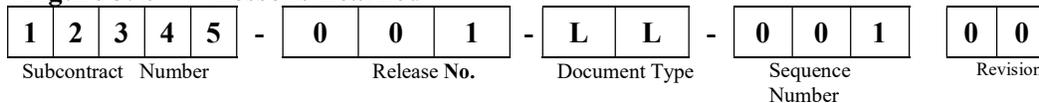
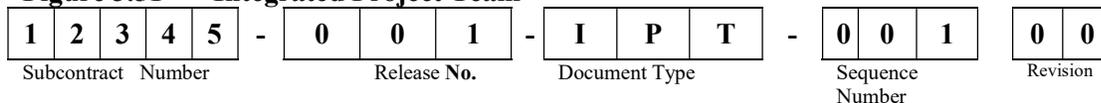
Figure 3.48 Photos**Figure 3.49 Lessons Learned****Figure 3.50 Audits****Figure 3.51 Integrated Project Team**

Figure 4. Supplier Submittal Status.

20.	<input type="checkbox"/> (1) Approved <i>(Additional Information May Be Included)</i>	<input type="checkbox"/> (2) Approved with Comments, Resubmit
	<input type="checkbox"/> (3) Not Approved, Resubmit	<input type="checkbox"/> (4) Information/Record <i>(Review Not Required)</i>

Guidance for Assigning Status Codes to Submittals

Status 1 – Approved (Additional Information May be Included)

Ask the following questions when considering assignment of Status 1; if “no” is answered for any of the questions below, then “Status 1” is not appropriate:

- Could a final product be built using the information contained within the document and if it were, would it meet the technical and performance requirements set forth in the Subcontract/Purchase Order?
- If the document refers to other supplier documents, are those documents Status 1, Status 2, or Status 4?
 - If a vendor document refers to another Vendor document that is Status 3 or has not been assigned a status yet, use of Status 1 is not appropriate, because the referenced material may not be compliant with the Subcontract /PO requirements.
 - Status 1 may be assigned (if otherwise appropriate) to Vendor documents that reference other supplier documents concurrently assigned a Status 1, Status 2, or Status 4 with the assignment of the Status for the submittal in question.

Status 2 – Approved with Comments Resubmit

With the exception of the need for the Vendor to incorporate the comments, the Vendor is allowed to proceed with design/manufacturing. The Vendor is required to return the document to WRPS for further review.

Ask the following questions when considering assignment of a submittal “Status 2.” If “no” is answered for any of the questions below, then “Status 3” may be more appropriate:

- Are all comments clear and definitive? (“Change X to Y,” “Move X from Y to Z,” etc.)
- NOTE: Comments that request the Vendor provide missing information are not good candidates for “Status 2,” since the Vendor may proceed with work, and provide unacceptable (non-compliant) information in response to your comment.
- If all comments indicated on the submittal were incorporated as indicated, could all of the questions for a “Status 1” submittal be answered “yes”?

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Figure 4. Supplier Submittal Status. (cont.)

Status 3 – Not Approved, Resubmit

Application of this status does not allow the Vendor to proceed with work using the information contained within the “Status 3” document.

Application of this status does not stop work that is unrelated to the “Status 3” submittal.

Status 3 is not to be used to “hold” or “suspend” work. To hold or suspend work, contact the Procurement Specialist.

The status code is applied to the submittals where one of the following conditions exists:

- Adequacy of the supplied product with respect to the Subcontract/PO requirements cannot be determined based upon the information contained within the submittal because information required to be in the submittal is missing or indeterminate.
- If all comments indicated on the submittal were incorporated as indicated, it is possible that the product could be built and comply with the revised document yet fail to comply with the Subcontract /PO requirements.
- Comments are so extensive in either quantity or severity, that the results of their incorporation are likely to produce a document that would require additional review prior to meeting the requirements of a “Status 1” submittal.
- Engineering activities of the Subcontract/PO associated with the submittal are officially on hold. The hold is coordinated through Procurement in writing to the Vendor.

Status 4 – Information/Record (Review not required)

Apply this status when the submittal received does not contain information intended to demonstrate compliance to technical requirements. The requirement to submit the document is a commercial requirement, and therefore does not invalidate the use of Status 4.

Status 4 is applied to submittals where the following conditions exist:

- The submittal does not contain any technical data that can be compared to Subcontract/PO technical requirements, and therefore there is nothing on which to base technical comments.
- The submittal does not contain any quality programmatic instructions that can be compared to PO quality requirements, and therefore there is nothing on which to base quality programmatic comments.

Figure 5. Changing Vendor Information Drawings (Section 4.10.2).

