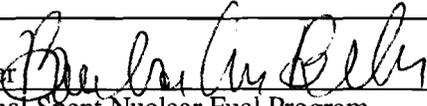


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Approval: Barbara A. Beller   
Manager, National Spent Nuclear Fuel Program

Date: 2/5/09

## I. PURPOSE AND SCOPE

This procedure establishes the process and responsibilities of the National Spent Nuclear Fuel Program (NSNFP) Quality Assurance (QA) Program for planning and scheduling QA *assessments* (see glossary) of quality affecting activities.

## II. SUMMARY

The NSNFP QA Program performs assessments of the NSNFP, NSNFP suppliers, and other activities requested by NSNFP management. This procedure includes the actions required for generating an assessment schedule, which involves planning, preparing, revising, and approving assessment schedules.

## III. PROCEDURE

The Quality Assurance Staff Manager (QASM) may delegate actions in this procedure to Quality Assurance Specialists (QAS).

### A. Planning an Assessment Schedule

- QASM/QAS
1. Prepare an annual assessment schedule of internal and external assessments in accordance with the example format depicted in Attachment A.
    - a. Issue the assessment schedule at the beginning of the fiscal year and revisions to the schedule each quarter of the fiscal year.
  2. Schedule assessments to provide coverage, consistency, and coordination with ongoing work.
    - a. Use activity and assessment schedules from the NSNFP Program Support Organization (PSO) and NSNFP suppliers.
    - b. Include any special requests from NSNFP management for additional assessments.

- QASM/QAS 3. Schedule NSNFP assessments at a frequency commensurate with the status and importance of the work.
- a. As a minimum, perform assessments of work to verify QA program compliance annually.
  - b. Perform the initial assessment as early in the life of the work as practical. Perform follow-up assessments at intervals consistent with the schedule for accomplishing the work.
  - c. Ensure assessments verify that all applicable criteria are evaluated. Schedule additional assessments as necessary to provide complete program evaluation.
  - d. After *compliance-based audits* (see glossary) have verified that a QA program is in full compliance, schedule performance-based audits of selected work to determine program effectiveness.
4. Schedule supplier assessments in support of the supplier qualification process.
- a. The schedule for assessing a supplier will be established after the supplier is selected. The need to assess suppliers will be based on the complexity and nature of the items or services being supplied. Where supplier audits are not scheduled, justification will be documented and transmitted to QA records.
    - (1) External audits are not required for items that are relatively simple, standard in design, manufacturing, and testing, or adaptable to standard inspection or test after delivery.
  - b. Schedule compliance audits triennially (minimum) with the initial audit scheduled as early in the life of activities as possible.
  - c. After compliance-based audits have verified that a QA program is in full compliance, schedule performance-based audits of selected work to determine program effectiveness.
  - d. When a major change in contract scope, work methodology, or organization occurs for a supplier, evaluate the need to schedule additional assessments.
  - e. Annual external audits shall be performed on suppliers or other external organizations when the supplier or external organization does not maintain a NSNFP accepted audit program.
  - f. For suppliers of commercial calibration services with accreditation by a nationally-recognized accrediting body, a documented review of the supplier's accreditation may be used in lieu of external audits,

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inspections or tests following delivery, or in-process surveillances during the performance of the service. The review must be performed in accordance with the requirements prescribed by procedure NSNFP 4.02, Attachment A.

5. Use the results from annual assessment reports, trend reports, and management assessment reports to determine the need to schedule additional assessments.

### **B. Preparing an Assessment Schedule**

- |          |    |   |
|----------|----|---|
| QASM/QAS | 1. | Issue the assessment schedule at the beginning of the fiscal year and ensure that each assessment schedule includes the following:  |
| QASM/QAS | a. | A unique identification number assigned for each scheduled assessment.  |
|          | b. | The organization to be evaluated.   |
|          | c. | The organization and assessment team members performing the assessment. Team members must be qualified in accordance with NSNFP Procedure 18.04, "Qualification of Audit Personnel," prior to performing the assessment. If team members are not known at the time of schedule preparation, enter "TBD" (to be determined). |
|          | d. | The type of assessment (audit, surveillance, or management assessment).   |
|          | e. | The scheduled start date for the assessment or "TBD" if not known at the time of schedule preparation.  |
|          | f. | New assessments not previously scheduled.   |
|          | g. | Status of previously scheduled assessment activities, including in-process, delayed, canceled, or completed assessments.  |
|          | h. | Schedules will include the previous 3 months of activities to provide an ongoing schedule of assessments with a projected time frame of at least 9 months.  |
|          | 2. | When available, reflect the annual DOE/RW QA management assessment of the NSNFP QA Program.   |

### **C. Revising an Assessment Schedule**

- |          |    |   |
|----------|----|---|
| QASM/QAS | 1. | Maintain a working copy of the assessment schedule to identify the current status of planned and scheduled assessments, post updates, and revisions.  |
|          | 2. | Supplement regularly scheduled assessments by additional assessments of specific activities when necessary to provide adequate evaluation of compliance, effectiveness, or verification of corrective action. |

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3. Request information from the following sources and incorporate it into the assessment schedule.
  - a. Use activity and assessment schedules from the NSNFP PSO and NSNFP suppliers.
  - b. Include any special requests from the NSNFP management for additional assessments.
4. Generate revised assessment schedules per Section III.B for approval at the beginning of the second, third, and fourth quarter of the fiscal year.

**D. Approving an Assessment Schedule**

- QASM 1. Review and approve the assessment schedule.
- QASM/QAS 2. Distribute the assessment schedule quarterly to all NSNFP Managers and Technical Leaders.

**IV. REFERENCES**

None.

**V. DEFINITIONS**

Terms appearing in italics followed by the notation “see glossary” are defined in the NSNFP Documents Manual Introduction and Glossary.

**VI. ATTACHMENTS**

Attachment A, NSNFP Annual Assessment Schedule (Format Example)

**VII. QUALITY RECORDS**

The following quality records generated as a result of this procedure require retention in accordance with the identified classification and NSNFP Procedure 17.01.

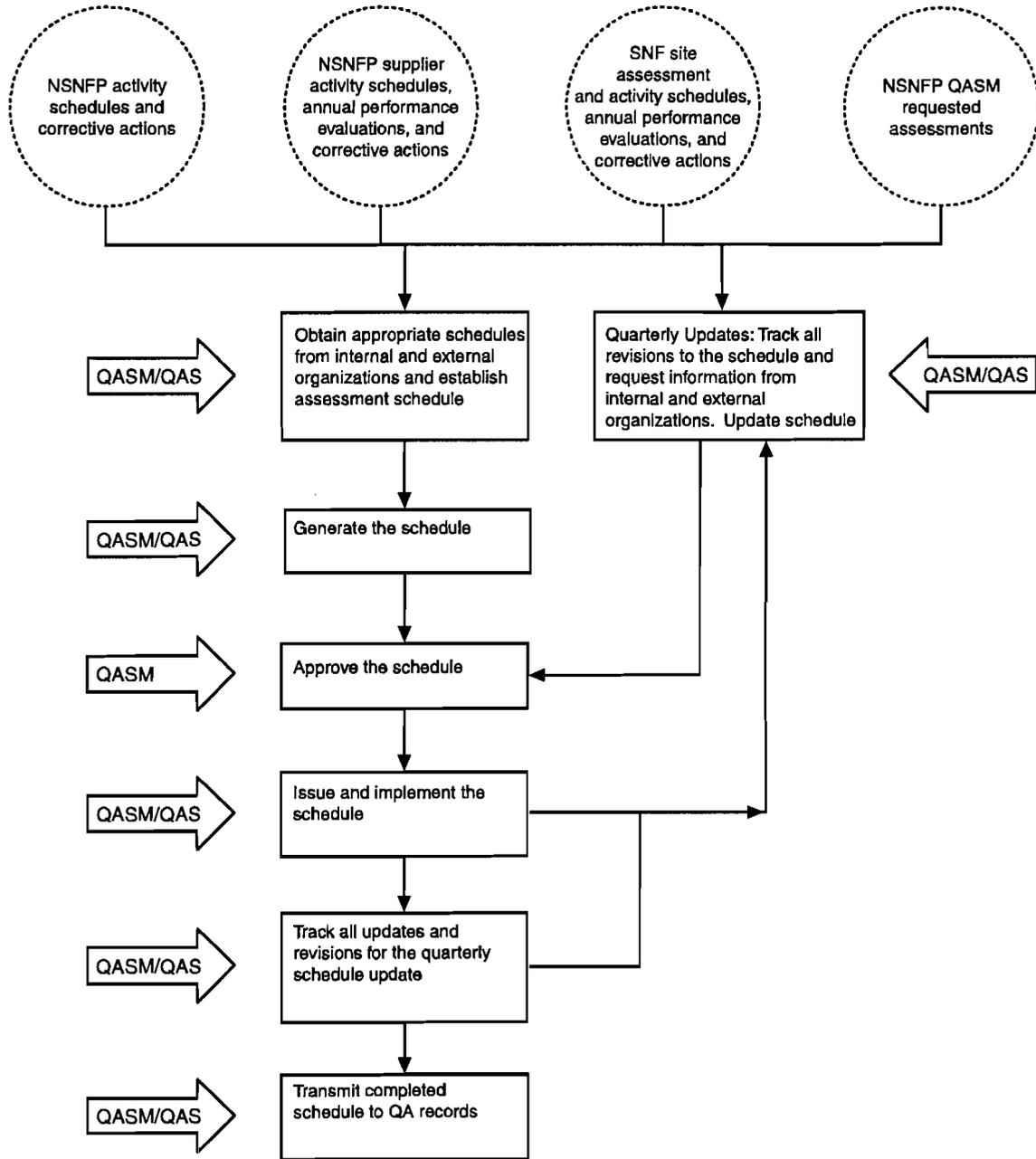
Lifetime

None.

Nonpermanent

- A. Annual assessment schedule and subsequent quarterly revisions
- B. Justification for not scheduling supplier assessments.

**VIII. PROCEDURE FLOW DIAGRAM**





**PLANNING AND SCHEDULING  
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**Attachment A**

**NSNFP Annual Assessment Schedule (Format Examples)**

NSNFP					
Assessment Start Date	Assessment Type and Number	Assessment Scope	Assessing Organization	Assessment Team	Assessment Status
6/2/99	99-NSNF-AU-103	Quality Assurance Records—NSNFP Procedures 17.01 & 17.02	NSNFP QA Staff	ATL, N. MacKay (V. Berg)	Completed 6/5/99
9/15/99	99-NSNF-AU-109	Audits & Surveillance NSNFP Procedures 18.01, 18.02, & 18.03	NSNFP QA Staff	ATL, R. Toro	Completed 9/17/99
6/16–19/00	Management Assessment	Annual Management Assessment of the NSNFP QA Program	RW	J. Longenecker W. Booth T. Colandrea	Completed 6/18/00
9/1/00	00-NSNF-AU-XXX	Audit of all NSNF NSNFP Procedures Applicable to PMs/TLs at DOE HQ	NSNFP QA Staff	ATL, E. Bradford	
11/15/00	01-NSNF-AU-XXX	Audit of NSNFP QA Program Maintenance Activities	NSNFP QA Staff	ATL, D. Truman A, D. Armour	
3/15/00	00-NSNF-AU-XXX	Audit of NSNFP Technical Activities	NSNFP QA Staff	ATL, E. Bradford A, D. Armour TS, TBD	

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### Attachment A

NSNFP Suppliers					
Assessment Start Date	Assessment Type and Number	Assessment Scope	Assessing Organization	Assessment Team	Assessment Status
6/30/00	00-NSNF-AU-030	John Marvin Inc. (Software Development for Chemical Reactivity Program)	NSNFP QA Staff	ATL, V. Berg TS, R. Bratton	Audit completed 6/30/00
TBD	01-NSNF-AU-XXX	PNNL (Scientific Investigation for Release Rate Test Program)	NSNFP QA Staff	ATL, J. Reynolds	
8/01	01-NSNF-S-XXX	SRS Technical Center (Scientific Investigation Support for Release Rate Test Program)	NSNFP QA Staff	STL, V. Berg	
TBD	01-NSNF-AU-XXX	ANL-W (Scientific Investigation Support for Chemical Reactivity Program)	NSNFP QA Staff	ATL, V. Berg, TS, R. Bratton	
TBD	01-NSNF-AU-XXX	RW M&O, TRW Technical Support for NSNFP	NSNFP QA Staff	ATL, J. Reynolds	