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Manager, National Spent Nuclear Fuel Program

I. PURPOSE AND SCOPE

This procedure addresses the control of *government sector supplier* (see glossary) services provided to the National Spent Nuclear Fuel Program (NSNFP) by the Idaho National Laboratory (INL) Management and Operating (M&O) Contractor The NSNFP purchase of repository-related or transportation-related *items* (see glossary) though interface with the INL M&O Contractor is not anticipated and, therefore, not addressed by this procedure.

This procedure describes the process for controlling *activities* (see glossary) performed by the INL M&O Contractor to accomplish the objectives of the NSNFP. NSNFP Task Management Agreements (TMAs) define the scope of these assigned work activities.

Work funded through NSNFP that is within scope for the Office of Civilian Radioactive Waste Management (OCRWM), or organizations in direct support relationships with OCRWM, does not represent a NSNFP/supplier interface and is not subject to the requirements of this procedure.

II. SUMMARY

This procedure describes the conditions for applying quality assurance (QA) program controls to the NSNFP/INL M&O Contractor interface, verifying incorporation of technical and QA requirements, and performing annual supplier evaluations. The procedure demonstrates formats and establishes criteria for supplier evaluations and a Qualified Suppliers List.

III. PROCEDURE

A. Initiating Conditions for Applying QA Program Controls to NSNFP/INL M&O Contractor Interface

NSNFP PSO Technical Staff

1. Apply the QA program controls of this procedure when:

   a. A NSNFP Planning/QA Program Applicability Evaluation indicates the use of INL Contractor processes is planned that requires NSNFP approval of the INL M&O Contractor's QA program.

      Note: An alternative to requiring QA program approval is discussed in procedure NSNFP 4.02. However, this procurement alternative results in unqualified data and limits the use of that data.

   b. An updated NSNFP Planning/QA Program Applicability Evaluation introduces a scope change involving existing quality-affecting activities to be performed by the INL M&O Contractor.

   c. The INL M&O Contractor introduces changes to a previously accepted QA program.

d. An annual evaluation of a INL M&O Contractor's performance is due.

e. Directed by the PSO Manager.

B. Verifying Incorporation of Technical and QA Requirements for Government Sector Suppliers

NSNFP PSO Technical Staff

1. As applicable prior to the start of quality-affecting work by the INL M&O Contractor, initiate and coordinate the completion of a supplier evaluation. Use Attachment A for the required report format and criteria for the evaluation.

2. Evaluate the technical capability of the INL M&O Contractor for the scope of work defined by the Task Management Agreement (TMA).

3. Obtain a copy of the INL M&O Contractor's QA program implementing documents for evaluation by PSO Quality Engineering (QE).

NSNFP PSO QE

4. Perform an initial evaluation of the INL M&O Contractor's quality capability by one or more of the following methods:.

   a. Compare the INL M&O Contractor's QA program implementing documents to the requirements of the applicable sections of the QARD for the proposed work scope. The applicable sections of the QARD are predetermined by the approved NSNFP Planning/QA Program Applicability Evaluation.

   b. Obtain the INL M&O Contractor's history for providing identical or similar products. This may include history obtained from organizations other than the NSNFP, such as OCRWM, the DOE Supplier Quality Information Group, or the American Society of Mechanical Engineers.

   c. Arrange for the conduct of a survey of the INL M&O Contractor's facility, personnel, and QA program implementation. As applicable, coordinate with NSNFP QAS for the performance of an audit in accordance with NSNFP Procedure 18.02.

      (1) Triennial assessments are scheduled in accordance with NSNFP Procedure 18.01 as required.

5. Before the quality-affecting work begins, the NSNFP shall resolve, or obtain commitments to resolve, unacceptable quality conditions identified during the proposal/bid evaluation..

5.6. Using Attachment A, document the results of the initial evaluation on a supplier evaluation report (SER), including any inconsistencies that require correction prior to the start of quality-affecting work.

a. Coordinate with the NSNFP technical staff and the INL M&O Contractor personnel to resolve inconsistencies not otherwise controlled by the NSNFP audit process.

b. Approve the SER, based on the absence of inconsistencies not otherwise controlled by the NSNFP audit process.

c. Coordinate with the NSNFP QAS Manager to update the NSNFP Qualified Suppliers List, Attachment B.

C. Performing Annual Supplier Evaluations

NSNFP PSO Technical Staff

1. Perform supplier evaluations at routine intervals not to exceed 12 months throughout the duration of quality-affecting work by the INL M&O Contractor .

2. Gather input for the evaluation to include, as applicable, submitted INL M&O Contractor generated engineering documents, test reports, scientific investigation reports, deficiency reports and resolutions, QA program changes, and other QA records. Include as input, NSNFP assessment reports, applicable NSNFP review comment records, and changes to the NSNFP TMA generated during the evaluation period.

3. Using the format and criteria of Attachment A, document a technical evaluation of the INL M&O Contractor's performance to date.

4. Provide the technical evaluation and the input documentation to the NSNFP PSO QE.

NSNFP PSO QE

5. Using the format and criteria in Attachment A, document a QA review of the input documentation to determine the following:.

   a. The INL M&O Contractor organization is responsive to the requirements established by the NSNFP TMA and the changes to them.

   b. Previously unevaluated QA program changes are satisfactory when compared to the applicable sections of the QARD.

   c. The planned frequency of NSNFP assessment is suitable or the need for more frequent assessments is indicated.

6. Based on a satisfactory technical and QA evaluation, recommend the continued use of the INL M&O Contractor for the work scope defined by the TMA without additional actions or restrictions.

   a. Obtain NSNFP Quality Assurance Staff Manager (QASM) concurrence with the evaluation.

7. Based on an unsatisfactory technical or QA evaluation, recommend disapproving or restricting the continued use of the INL M&O Contractor for new or additional work scope.

a. Obtain NSNFP QASM concurrence with the evaluation.

b. Coordinate with NSNFP QAS to develop and issue Deficiency Reports or Corrective Action Requests in accordance with NSNFP Procedure 16.02.

c. Upon successful closure of the Deficiency Reports and Corrective Action Requests, recommend reinstating the INL M&O Contractor satisfactory rating.

(1) Obtain the NSNFP QASM concurrence with the reinstatement.

NSNFP PSO QE 8. Coordinate with the NSNFP QASM to update the Qualified Suppliers List, Attachment B.

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 Supplier Evaluation Report Format and Criteria

Attachment B, NSNFP Qualified Suppliers List Format

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.

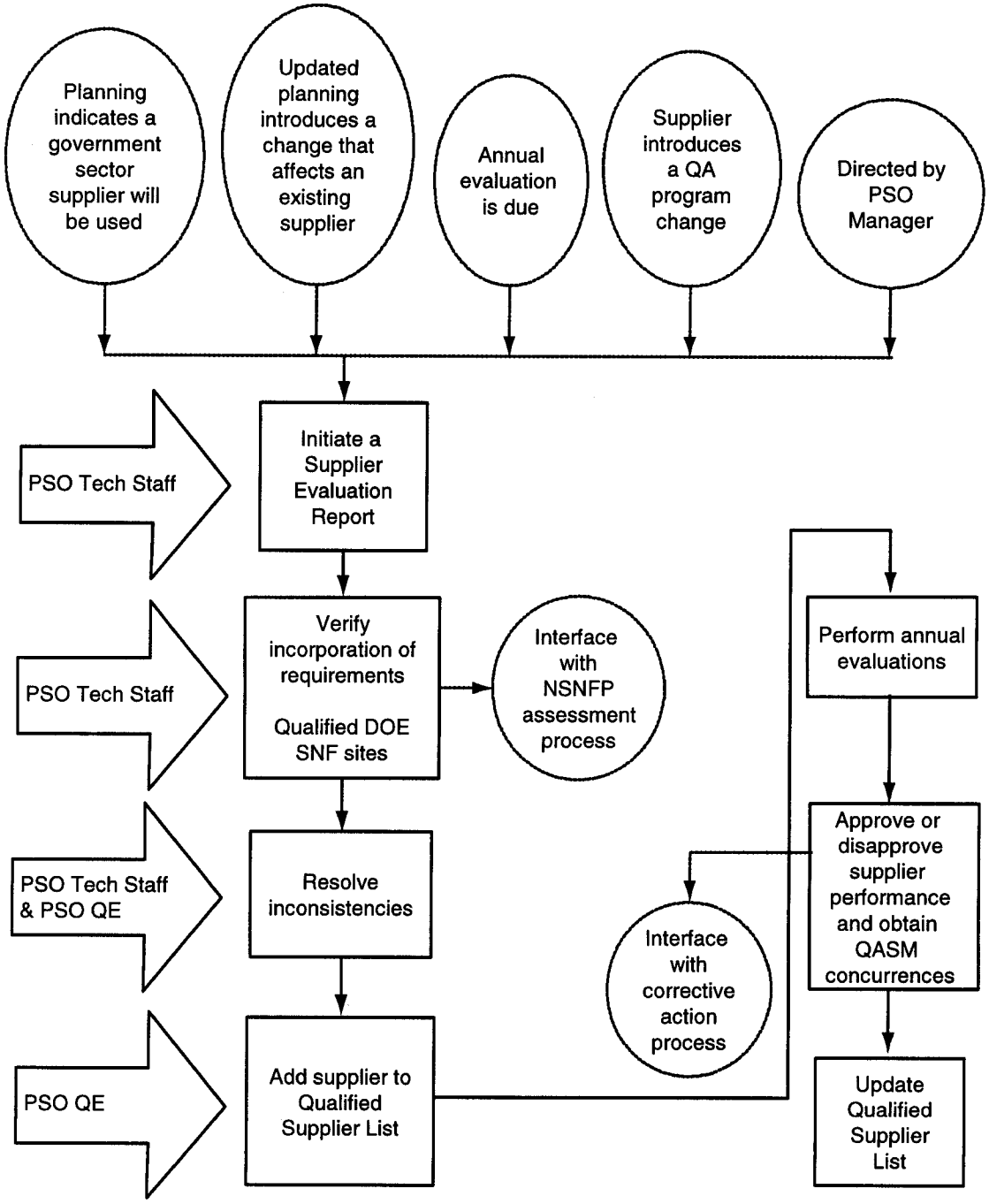
<u>Lifetime</u>

A. Completed NSNFP Supplier Evaluation Reports

<u>Nonpermanent</u>

None.

VIII. PROCEDURE FLOW DIAGRAM



Attachment A

NSNFP Supplier Evaluation Report Format and Criteria

1. NSNFP TMA Number: **Revision Number:**	**2. Date of Preparation:**
3. NSNFP Activity /Task Title:	**4. Control Account No. or WBS No.:**
5. Name of Supplier or Performing Organization: **Supplier's Point of Contact:**	
6. Evaluation Type: (Signify by placing an "X" after the applicable type) Initial _____ Change in Work Scope _____ Change in QA Program_____ Annual Performance Evaluation _ ____ Other (specify) _____	
7. Technical Capability/Performance Evaluation: For initial evaluations or work scope changes, discuss the suitability of the facilities and technical capability of the available personnel as determined through identical or similar work or through onsite surveys. For annual evaluations, discuss the adequacy of performance observed to date based on the supplier submitted documents and overall responsiveness to the requirements in the referenced NSNFP TMA including the following, as applicable. • The scope of work has been completed as scheduled within the authorized budget as stipulated in the TMA . • Documentation, stipulated in the TMA as deliverables, has been submitted to NSNFP for information, review, or acceptance; or is on track for timely submittal. • Periodic progress reports have been provided as stipulated in the TMA • As stipulated in the TMA, applicable standards and criteria have been met by the deliverable or the scientific approach or technical methods in use.	
8. Overall Technical Capability/ Performance Rating: **Satisfactory**_____ **Unsatisfactory**_____ (Provide general description of the unsatisfactory conditions observed) **PSO Technical Staff Name Typed or Printed** _____ **PSO Technical Staff Signature**_____**/Date**_____	

Attachment A

9. QA Capability/Performance Rating:

For initial evaluations or work scope changes, discuss the results of the following review of the supplier's QA program implementing documents, supplier history, and supplier survey. NSNFP QASM written acceptance of the supplier's QA program must be in place prior to starting quality-affecting work when stipulated by the TMA.

For annual evaluations, discuss the adequacy of performance observed to date based on the supplier submitted documents, results of NSNFP assessments, review of previously unevaluated QA program changes, and overall responsiveness to the requirements in the referenced NSNFP TMA including the following, as applicable.

- Unless otherwise stipulated in theTMA, the supplier has maintained a documented QA program commensurate with the scope, nature, or complexity of the item or service to be provided. The documented QA program remains acceptable to NSNFP when compared to the Office of Civilian Radioactive Waste Management (OCRWM) Quality Assurance Requirements and Description (QARD). The supplier implemented the accepted QA program for the work performed for NSNFP.
- The supplier has incorporated appropriate quality requirements into any procurement document issued to a subtier.
- All personnel assigned to perform the work have been trained and qualified as required by the accepted QA program and as augmented by the TMA.
- All quality-related work has been performed in accordance with appropriate implementing documents, and when stipulated by the documents, independently verified by a qualified Quality Engineer or Inspector under the purview of the supplier.
- The supplier has retained supplier-generated documents that will become NSNFP QA records according to NSNFP-designated retention times and disposition requirements included in the TMA.
- When hold points designated in the TMA have been reached, work did not proceed without NSNSP authorization.
- The supplier reported nonconformances to NSNFP and submitted dispositions of nonconformances for NSNFP approval.
- Documentation submitted to NSNFP for information, review, or acceptance, as stipulated by the TMA, has been timely and responsive to the requirements.

10. Overall QA Capability/Performance Rating:

Describe inconsistencies not otherwise controlled by the NSNFP assessment process/corrective action process.

Describe the resolution to inconsistencies noted above.

Satisfactory_____ (Signify by placement of an "X")

Unsatisfactory_____ (Signify by placement of an "X")

Unsatisfactory conditions are controlled by NSNFP Deficiency Report or Corrective Action Report number(s) _____.

Upon completion of accepted actions to prevent recurrence and remedial actions, the supplier rating will return to satisfactory for the evaluation period.

Attachment A

11. Conclusions

For initial evaluations and work scope change evaluations only:

The supplier (is/is not) initially approved for work defined by the referenced NSNFP TMA.

For Performance evaluations only:

(yes) _____, the supplier's approval is continued for the work defined by the referenced NSNFP TMA and potentially other similar or identical NSNFP work scope subject to a specific evaluation.

(no)_____, the supplier is not eligible for new or additional NSNFP work scope subject to successful completion of accepted actions to prevent recurrence and remedial actions according to Section 10 above and a specific evaluation for added or new work.

The frequency and scope of planned NSNFP assessments is suitable for the circumstance _____ (yes/no)

Recommended change in assessment frequency or scope _____

NSNFP PSO QE Name Typed or Printed _____

NSNFP PSO QE Signature_____**/Date**_____

NSNFP QASM Name Typed or Printed _____

NSNFP QASM Signature_____**/Date**_____

12. Reinstatement (if applicable)

Based on successful completion of accepted actions to prevent recurrence and remedial actions according to Section 10 above, the supplier's satisfactory rating is reinstated.

NSNFP PSO QE Name Typed or Printed _____

NSNFP PSO QE Signature_____**/Date**_____

NSNFP QASM Name Typed or Printed _____

NSNFP QASM Signature_____**/Date**_____

13. Report Distribution

NSNFP QASM

NSNFP PSO Technical Staff (TMA point of contact)

NSNFP QA Records

Attachment B

NSNFP Qualified Suppliers List Format

Company	Contact/Program Type	QA Manual rev/level QA Plan	QA Elements Evaluated
Company Name Address Phone/Fax	Contact: QA Program Type (Basis)		
Method of Qualification			
Next Performance Evaluation Date			
Last Audit: No./date			
Next Triennial Audit Due Date			
Last surveillance No./date			
Scope of Work TMA No.			
Restrictions			