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I. PURPOSE AND SCOPE

This procedure addresses the control of services provided to the National Spent Nuclear Fuel Program (NSNFP) by government agencies including U.S. Department of Energy (DOE) national laboratories and their respective management and operating (M&O) or management and integration (M&I) contractors. These sources are referred to as *government sector suppliers* (see glossary). The NSNFP purchase of repository-related or transportation-related *items* (see glossary) from these sources is not anticipated and, therefore, not addressed by this procedure.

This procedure describes the process for controlling *activities* (see glossary) assigned to government sector suppliers 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 government sector services, 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.

DOE SNF sites (see glossary) accepted by the NSNFP Quality Assurance Program Manager (QAPM) as qualified are considered qualified government sector suppliers of services to the NSNFP with the following two provisions: (1) the work is managed by the same organization evaluated for DOE SNF site acceptance and (2) the current DOE SNF site Quality Assurance Requirements and Description (QARD) Requirements Matrix is consistent with the QA program requirements applicable to the assigned work activity. Once these provisions are confirmed by evaluation, the DOE SNF site can be added to the NSNFP Qualified Suppliers List without additional evaluation or audit. In some cases, a government sector supplier can be qualified for only a limited type of work or service, precluding the addition of new scope without further evaluation of that supplier.

III. PROCEDURE

A. Initiating Conditions for Applying QA Program Controls to Government Sector Services

NSNFP PSO Technical Staff

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

NSNFP PSO Technical Staff

a. A NSNFP Planning/QA Program Applicability Evaluation indicates the use of a government sector supplier is planned that requires approval of the supplier's QA program.

b. An updated NSNFP Planning/QA Program Applicability Evaluation introduces a scope change involving existing quality-affecting activities to be performed by a government sector supplier.

c. The supplier introduces changes to a previously accepted QA program.

d. An annual evaluation of a supplier's performance is due.

e. Directed by the PSO Manager.

B. Verifying Incorporation of Technical and QA Requirements for DOE SNF Sites as Suppliers to NSNFP

NSNFP PSO Technical Staff

1. Prior to the start of quality-affecting work by DOE SNF site organizations, initiate and coordinate the completion of a Source Evaluation Report (SER). Use Attachment A for the required report format and criteria for the evaluation.

2. Evaluate the technical capability of the DOE SNF site organization for the scope of work defined by the associated TMA.

NSNFP PSO QE

3. Determine if the DOE SNF site QA program is currently accepted by the NSNFP QAPM as evidenced by NSNFP correspondence. If not accepted, GO TO Section III.C.4. of this procedure.

a. Obtain the current DOE SNF site QARD Requirements Matrix representing the NSNFP accepted program.

b. Compare the DOE SNF site QARD Requirements Matrix to the current NSNFP Planning/QA Program Applicability Evaluation to determine if the QA program requirements are consistent.

c. Record any inconsistencies requiring resolution.

d. Review the open NSNFP audits and surveillances of the DOE SNF site to determine the status of those inconsistencies captured and controlled by the NSNFP corrective action process.

e. Coordinate with the NSNFP technical staff and the DOE SNF Site organization to resolve inconsistencies not otherwise controlled by the NSNFP corrective action process.

f. Obtain NSNFP QAPM concurrence based on the absence of inconsistencies not otherwise controlled by the NSNFP corrective action process.

NSNFP PSO QE

g. Coordinate with the NSNFP Quality Assurance Staff (QAS) Manager to update the NSNFP Qualified Suppliers List, Attachment B.

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

NSNFP PSO Technical Staff

1. Prior to the start of quality-affecting work by the government sector supplier, initiate and coordinate the completion of an SER. Use Attachment A for the required report format and criteria for the evaluation.

2. Evaluate the technical capability of the government sector supplier for the scope of work defined by the TMA.

3. Obtain a copy of the supplier's QA program implementing documents for evaluation by PSO Quality Engineering (QE).

NSNFP PSO QE

4. Perform an initial evaluation of the supplier's quality capability by one or more of the following methods.

   a. Compare the supplier'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 supplier'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 supplier's facility, personnel, and QA program implementation. Coordinate with NSNFP QAS for the performance of an audit in acordance with established NSNFP procedure QAS 18.02.

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

5. Document the results of the initial evaluation including any inconsistencies that require correction prior to the start of quality-affecting work.

   a. Coordinate with the NSNFP technical staff and the government sector supplier organization 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.

NSNFP PSO QE

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

D. 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 supplier.

2. Gather input for the evaluation to include, as applicable, submitted supplier-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 supplier'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 supplier 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 supplier for the work scope defined by the TMA without additional actions or restrictions.

   a. Obtain NSNFP QAPM concurrence with the evaluation.

7. Based on an unsatisfactory technical or QA evaluation, recommend disapproving or restricting the continued use of the supplier for new or additional work scope.

   a. Obtain NSNFP QAPM concurrence with the evaluation.

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

   c. Upon successful closure of the Deficiency Reports and Corrective Action Requests, recommend reinstating the supplier's satisfactory rating.

NSNFP PSO QE

(1) Obtain the NSNFP concurrence with the reinstatement.

8. Coordinate with the NSNFP QAS Manager 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. RECORDS

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

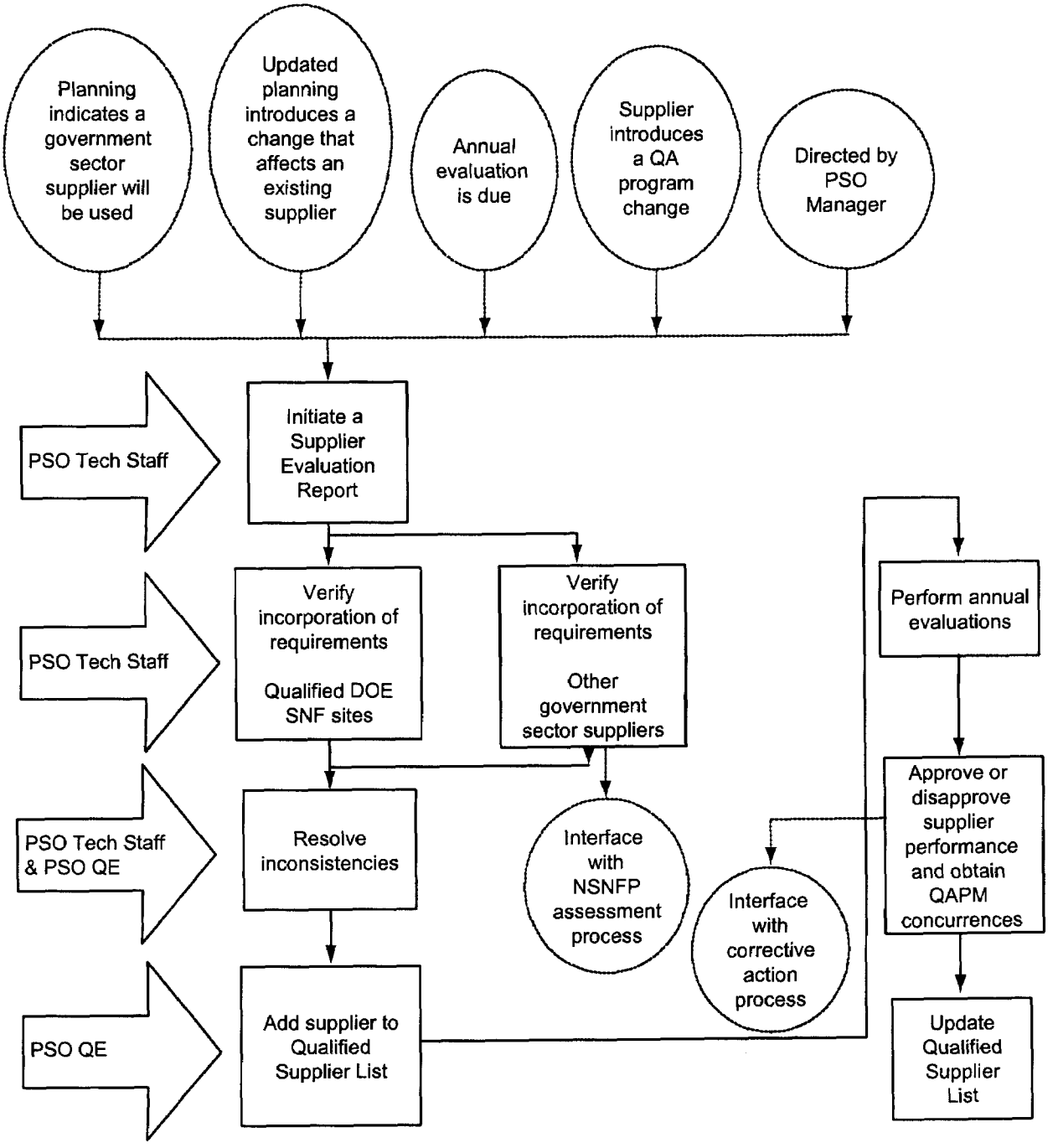
Lifetime

A. Completed NSNFP Supplier Evaluation Reports

Nonpermanent

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 TMA Section 7m. • Documentation, stipulated in TMA Section 7c 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 TMA Section 7i. • As stipulated in TMA Section 7b, 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 QAPM 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 TMA Section 7f or 7d, 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 TMA Section 7j.
- 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 TMA Section 7c.
- When hold points designated in Section 7e 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 TMA Section 7c, 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 QAPM Name Typed or Printed _____

NSNFP QAPM 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 QAPM Name Typed or Printed _____

NSNFP QAPM Signature_____**/Date**_____

13. Report Distribution

Manager, NSNFP
NSNFP QAPM
NSNFP PSO Manager
NSNFP QAS Manager
NSNFP PSO Technical Staff (TMA point of contact)
NSNFP Personnel responsible for Qualified Supplier List updates
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:			