

PLANNING AND SCHEDULING ASSESSMENTS

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Date: 12/18/01

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 qualityaffecting activities.

II. SUMMARY

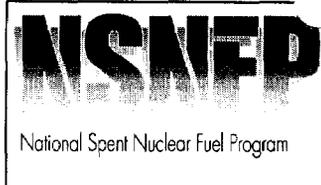
The NSNFP QA Program performs assessments of the NSNFP, NSNFP suppliers, spent nuclear fuel (SNF) sites, and other activities requested by the NSNFP Quality Assurance Program Manager (QAPM). This procedure includes the actions required for generating an assessment schedule, which involves planning, preparing, 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 DOE-ID Office of Technical Support, the NSNFP Program Support Organization, NSNFP suppliers, and SNF sites.
 - b. Include any special requests from the NSNFP QAPM for additional assessments.



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- QASM/QAS 3. Schedule NSNFP and SNF site assessments at a frequency commensurate with the status and importance of the work. Schedule SNF site assessments to support the SNF site quality program acceptance.
- 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.
5. Use the results from annual assessment reports, trend reports, and management assessment reports to determine the need to schedule additional assessments.



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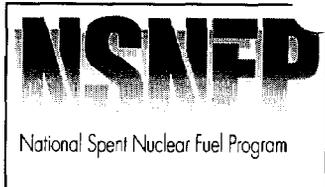
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B. Preparing an Assessment Schedule

- QASM/QAS 1. Issue the assessment schedule at the beginning of the fiscal year and ensure that each assessment schedule includes the following:
- A unique identification number assigned for each scheduled assessment.
 - The organization to be evaluated.
 - The organization and assessment team members performing the assessment. Team members must be qualified for the assessment type in accordance with QAS 18.02, "Administration and Conduct of Audits," or QAS 18.03, "Administration and Conduct of Surveillances." If team members are not known at the time of schedule preparation, enter "TBD" (to be determined).
 - The type of assessment (audit, surveillance, or management assessment).
 - The scheduled start date for the assessment or "TBD" if not known at the time of schedule preparation.
 - New assessments not previously scheduled.
 - Status of previously scheduled assessment activities, including in-process, delayed, canceled, or completed assessments.
 - 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.
3. Request information from the following sources and incorporate it into the assessment schedule.
- Use activity and assessment schedules from the DOE-ID Office of Technical Support, the NSNFP Program Support Organization, NSNFP suppliers, and SNF sites.



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- QASM/QAS b. Include any special requests from the NSNFP QAPM 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. Sign the assessment schedule and submit it to the QAPM for approval.
- QAPM 2. Review and approve the assessment schedule.
- QASM/QAS 3. Distribute the assessment schedule quarterly to all NSNFP Managers/Team Leaders, SNF sites, the DOE-ID Quality Assurance Division Director, and QA Records.

IV. REFERENCES

DOE/SNF/MTX-001, The National Spent Nuclear Fuel Program QARD Requirements Matrix, current revision.

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. RECORDS

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

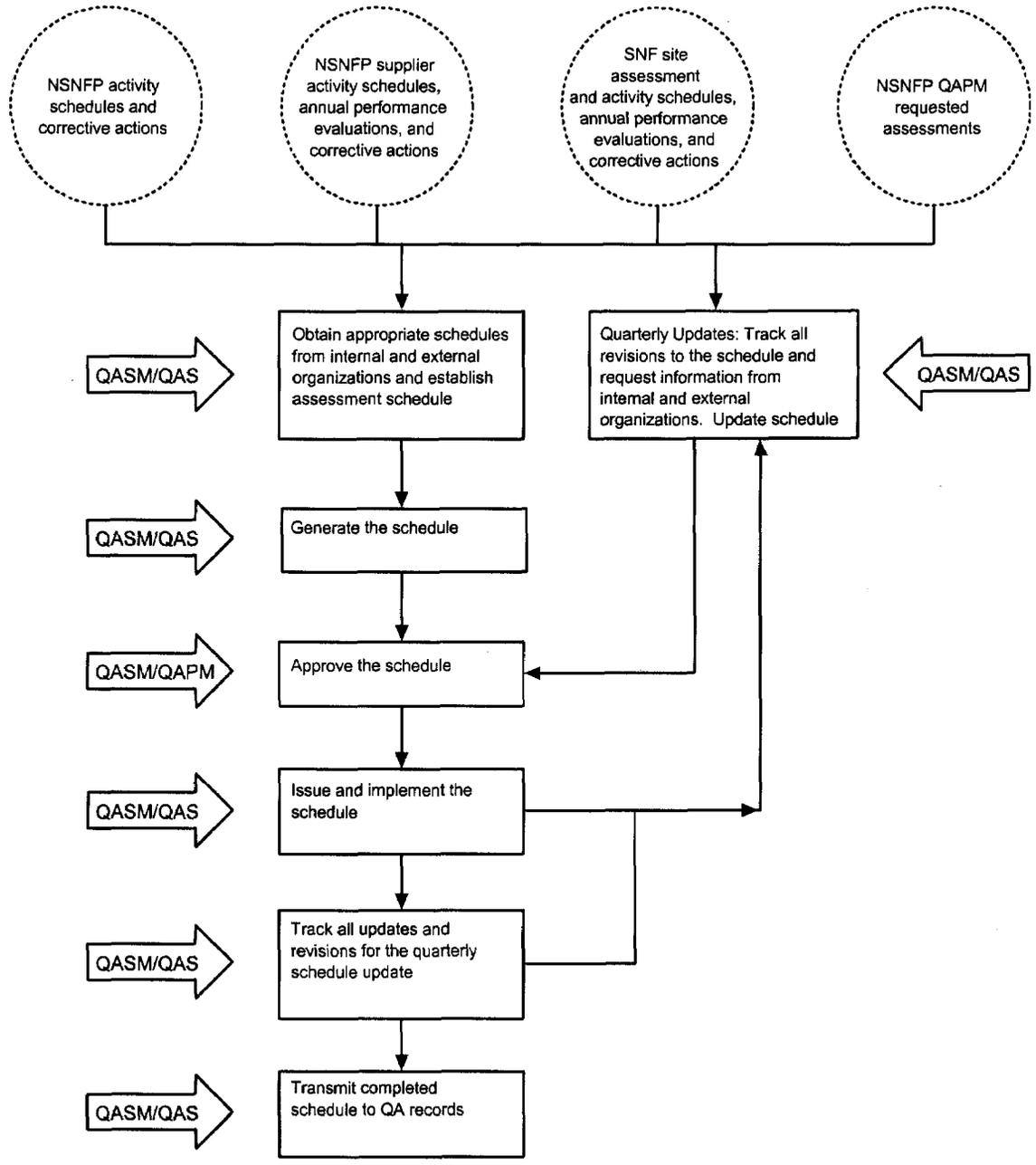
Lifetime

None.

Nonpermanent

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

VIII. PROCEDURE FLOW DIAGRAM





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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—PMPs 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 PMPs 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 PMPs 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

SNF Sites					
Assessment Start Date	Assessment Type and Number	Assessment Scope	Assessing Organization	Assessment Team	Assessment Status
9/00	00-NSNF-S-XXX	Surveillance of SRS's SNF QA Program (RW-0333P)	NSNFP QA Staff	STL, V. Berg ST, A. Mena	
4/6/00	00-NSNF-S-027	Surveillance of BBWI Internal Assessment of SNF QA Program (RW-0333P)	NSNFP QA Staff	STL, R. Peterson	Report issued on 6/15/00
TBD	01-NSNF-S-XXX	Surveillance of LMITCO Internal Assessment of SNF (CPP)	NSNFP QA Staff	STL, D. Armour	BBWI assessment postponed, TBD
TBD	01-NSNF-S-XXX	Surv. of RL's CA from findings of qual. audit and other SNF activities	NSNFP QA Staff	STL, D. Truman ST, A. Bradford	

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	