



Nuclear Regulatory Commission (NRC) Inspection Procedures and Guidance Documents Related to Vendor Oversight

EPRI Meeting – February 2012

PAUL F. PRESCOTT

Quality and Vendor Branch
Division of Inspection and Regional Support
Office of Nuclear Reactor Regulation



Topics

- Regulatory Basis
- Regulations Applicable to Vendors
- Types of Inspections
- Inspection Process
- Inspection Procedures
- How Findings are Addressed





Regulatory Basis

code of
federal regulations

10 CFR 21.41 states:

“Each individual, corporation, partnership, dedicating entity, or other entity subject to the regulations in this part shall permit the Commission to inspect records, premises, activities, and basic components as necessary to accomplish the purpose of this part.”



Regulations Applicable to Vendors

■ ***50.5, “Deliberate misconduct”***

- A vendor cannot cause a licensee to be in violation of any rule regulation, etc...
- A vendor cannot lie or submit false information to the NRC

■ ***50.7, “Employee Protection”***

- A vendor cannot discriminate against employees considered to be engaged in protected activities

■ ***Part 21, “Reporting of Defects and Noncompliance”***

Types of Inspections

- **Announced**

- **Unannounced**

- **Routine**

 - *QA program implementation*

- **Reactive**

 - *Operating Experience (licensee event, Part 21, NUPIC)*

 - *Allegations*



Inspection Process

- NRC has an established vendor inspection program

- *Inspection Manual Chapters*
- *Inspection Procedures*

- The NRC's inspection manuals, procedures, and reports are all publicly available on the web:

www.nrc.gov/reactors/new-reactors/oversight/quality-assurance/vendor-insp.html



Inspection Process

CONGRATULATIONS!

You're a Winner!



You've been chosen for an inspection based on your area of emphasis on manufacturing processes:
Design, Fabrication, Services provided or Testing.

...Now what happens?



Inspection Process

■ Inspection Plan Developed

- *Scope*
- *Areas of interest*
- *Previous inspection findings*
- *Review related operating experience*





Inspection Process

- Staff will contact the vendor by telephone
 - *Announce the inspection*
 - *Discuss inspection schedule*
 - *Size of team*
 - *Documentation requests*
 - *Availability of vendor support staff*
 - *Availability of conference room(s)*
- An Announcement Letter is issued to the vendor



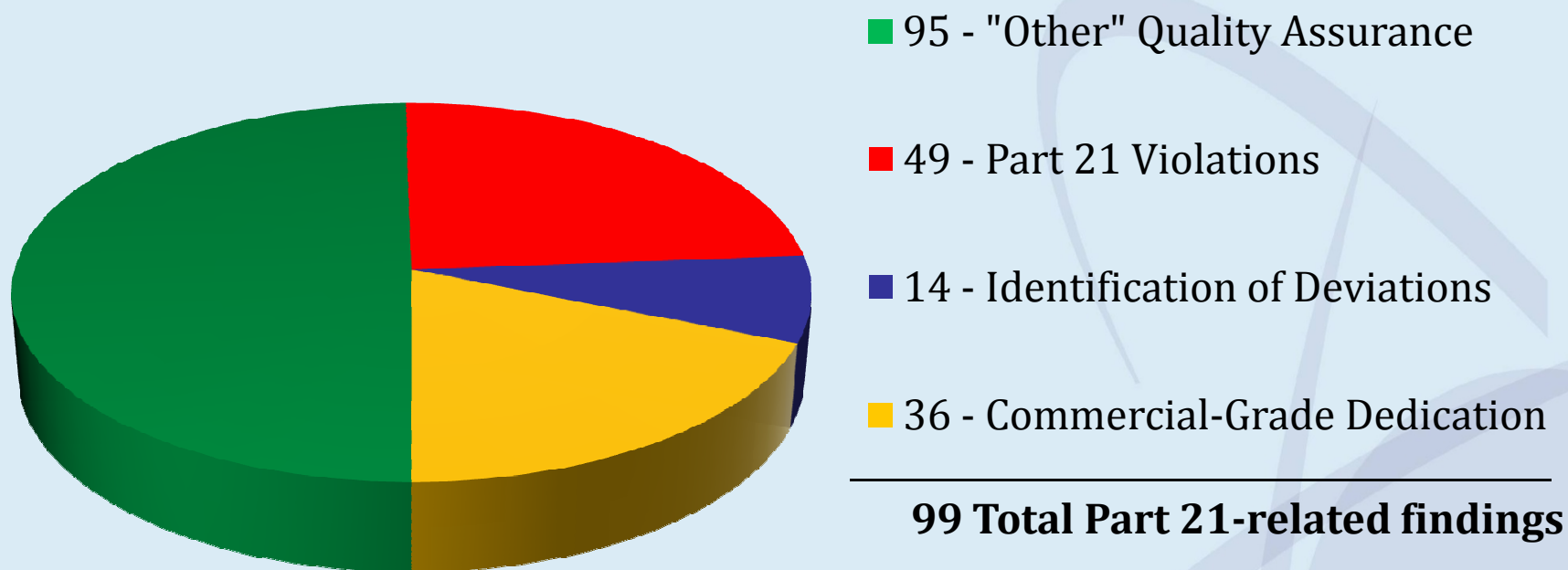


Inspection Process

- Onsite Inspection Activities
- Entrance Meeting with vendor management and staff
- Daily Meeting to discuss issues
- Exit Meeting
 - *Findings are preliminary*
- Violations and Nonconformances



How Findings Are Addressed



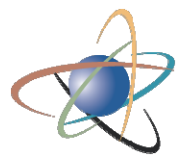
Vendor Inspection Findings (2007 to 2011)



How Findings Are Addressed

- Detailed explanation is given in the inspection report on how to process the NOV or NON
- Vendor has 30 days from the inspection report's issuance to respond
- Vendor may request an extension – but there has to be adequate justification
- The corrective actions do not necessarily have to be complete; but must be adequate.





Inspection Procedures

Inspection Procedure No.	Inspection Procedure Title	Procedure Applicability: Routine [R] or As Needed [N]
IP 36100	Inspection of 10 CFR Part 21 and 50.55(e) Programs for Reporting Defects and Noncompliance	R
IP 37805	Engineering Design Verification Inspections	R
IP 43002	Routine Inspections of Nuclear Vendors	N
IP 43004	Inspection of Commercial-Grade Dedication Programs	N
IP 43005	NRC Oversight of Third Party Organizations Implementing Quality Assurance Requirements	N
IP38703	Commercial Grade Dedication	R

Questions or Comments?



Contact Information

Paul.Prescott@nrc.gov