

Nuclear Procurement Issues Corporation (NUPIC) Audit Team & Supplier Interface: Before, During, and After the Audit

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Oversight

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The Team: Before the audit

- Team assignments for 2023 audits are occurring now
- Audit Team Leader (ATL) scheduling with supplier can occur anytime after the Spring 2022 NUPIC Meeting, but normally 6 – 8 months ahead of performance
- Assigned lead utility is responsible for updates to Supplier Information on the NUPIC website

The Team: Before the audit

- At 90 days before audit performance, notification to all NUPIC users is sent, along with a preliminary Performance Based Supplier Audit (PBSA) Worksheet, soliciting their feedback
 - Team Members and Technical Specialists are identified by name
 - ATL researches industry information and requests feedback from users on the technical characteristics of interest
- At 30 days before audit performance, the ATL will write and distribute the audit plan based on input he has received and performance information he has learned since the 90-day notification was sent
 - Audit assignments are made
 - PBSA Worksheet is finalized
 - Auditor and Technical Specialist Qualifications are verified
- ATL confirms schedule and arrangements with the supplier at least one week before performance

The Team: Before the audit

- The NUPIC Audit Team will gather for a pre-audit briefing the day (or evening) before the audit begins, typically Sunday evening

The Supplier: Before the audit

- Become familiar with the NUPIC website
 - Identify the utility assigned to lead your NUPIC Audit
 - Download the NUPIC Audit Checklist and consider a self-assessment in advance of the audit
 - Document any program gaps in your corrective action program
 - Share the results with your management team and enlist their assistance in resolution
 - If desired, reach out to the assigned lead utility and offer scheduling and logistics advice and assistance
 - Provide requested procedures and other documents ahead of the audit, as you are able to maintain proprietary considerations

The Team: During the audit

- NUPIC Audits begin on Monday, to assure a full week of auditing is available
- NUPIC Audits are performed in accordance with the Lead Utility's NRC-approved QA Program, using the NUPIC Procedure as agreed format
- The highest levels of professionalism and decorum are expected, and supplier feedback is requested in that regard

The Team: During the audit

- Objective evidence is required to support each statement of compliance
- Noncompliance's will be identified as findings and deficiencies, based on significance
 - Findings require supplier cause and corrective action, documented response to the lead utility, and follow-up action to close
 - Deficiencies are identified to the supplier for inclusion in the corrective action program, with effectiveness review during the next NUPIC Audit
 - Subjective opinions are recommendations may be provided verbally
- Daily debriefings are provided by the NUPIC Audit Team, seeking agreement on facts
- At the conclusion of audit activities, the entire team completes a Frequency Assessment to determine if results indicate the need for a Limited Scope Audit (LSA)

The Team: During the audit

- Exit conferences are summations, not revelations

The Supplier: During the audit

- Engage with the audit team, and present your facts
- Provide reasonable work-spaces where the team can work together
 - Access to the internet, sufficient electrical outlets, QA Manual and procedures make the auditors more effective
- The highest levels of professionalism and decorum are expected, and supplier feedback is requested in that regard

The Team: After the audit

- Significant findings require immediate notification to affected users

The Team: After the audit

- The ATL is required to update the NUPIC database immediately following the audit exit.
- The NUPIC Audit Report is due to the supplier within 30 calendar days; completed checklist is not provided for proprietary reasons
- The NUPIC ATL evaluates each of his/her team members; they each evaluate the ATL
- At 40 calendar days after the exit, the ATL is responsible to have provided the complete report/checklist package to the NUPIC Database Administrator for posting; all NUPIC Members are notified

The Team: After the audit

- Every 120 days following posting of the audit results, the ATL is required to update the NUPIC database with a finding status update until closure
- If findings are open 365 days, the ATL must provide a justification to the NUPIC user utilities
- If finding closure becomes seriously overdue, then the matter is elevated to the NUPIC Steering Committee for further actions as appropriate

The Supplier: After the audit

- Proactively address all findings and deficiencies
- Submit requested performance feedback, both immediately following the exit and when the written report is received
- Any additional feedback can be provided to the NUPIC Steering Committee, identified on the NUPIC web page



Questions?

