

**Appendix C-8
Vendor Inspector
Technical Proficiency
Training and Qualification Journal**

Table of Contents

Introduction	C8-2
Vendor Inspector Technical Proficiency Individual Study Activities.....	C8-3
(ISA-VI-1) Vendor Quality Assurance Program.....	C8-4
(ISA-VI-2) 10 CFR Part 21 Reporting	C8-7
(ISA-VI-3) Commercial-Grade Dedication.....	C8-9
Vendor Inspector Technical Proficiency On-the-Job Activities.....	C8-11
(OJT-VI-1) Preparing for a Vendor Inspection	C8-12
(OJT-VI-2) Conducting a Vendor Inspection	C8-14
(OJT-VI-3) Writing a Vendor Inspection Report	C8-16
Vendor Inspector Technical Proficiency Level Signature Card and Certification.....	C8-18
Form 1: Vendor Inspector Technical Proficiency Level Equivalency Justification	C8-19
Attachment 1: Revision History Sheet	C8-20

Introduction

The inspector training and qualification program requires a candidate to complete a variety of assignments. Each assignment has been selected to help the candidate learn information or practice a skill that will be important to performing the job of a Vendor Inspector. After completing the entire qualification process, a candidate will have demonstrated proficiency in each of the competencies that describe a successful Vendor Inspector.

Do not begin the activities or complete the courses in this qualification journal until you have completed the Basic Inspector Certification Journal. You may complete the General Proficiency requirements contained in Appendix B together with the Technical Proficiency requirements outlined in this journal.

Vendor Inspector Technical Proficiency Individual Study Activities

Vendor Inspector Technical Proficiency Individual Study Activity

TOPIC: (ISA-VI-1) Vendor Quality Assurance Program

PURPOSE: The purpose of this activity is to familiarize the candidate with the documents necessary to provide the NRC inspector with the bases and guidance required to support vendor inspection activities.

COMPETENCY AREAS: INSPECTION

LEVEL OF EFFORT: 15 hours

- REFERENCES:**
1. 10 CFR Part 50, Appendix B (Appendix B), "Quality Assurance Criteria for Nuclear Power Plants and Fuel Reprocessing Plants"
 2. American National Standards Institute (ANSI) 45.2, "Quality Assurance Requirements for Nuclear Power Plants"
 3. Regulatory Guide 1.26, "Quality Group Classification and Standards for Water, Steam, and Radioactive-Waste-Containing Components of Nuclear Power Plants," **Revision 4, March 2007**
 4. Regulatory Guide 1.28, "Quality Assurance Program Requirements (Design and Construction)," **Revision 4, June 2010**
 5. Regulatory Guide 1.33, "Quality Assurance Program Requirements (Operation)," **Revision 2, February 1978**
 6. American Society of Mechanical Engineers (ASME) Standard NQA-1 (1994, **2008, NQA-1a 2009 addenda** Editions), "Quality Assurance Program for Nuclear Facilities"
 7. NRC Standard Review Plan (SRP) 17.5, "Quality Assurance Program Description - Design Certification, Early Site Permit and New License Applicants"
 8. Regulatory Issue Summary (RIS) 2000-18, "Guidance on Managing Quality Assurance Records in Electronic Media"
 9. International Standards Organization (ISO) Q9001-2000, "Quality management systems - Requirements"
 10. **SECY-03-0117, "Approaches for adopting more widely accepted international quality standards"**
 11. **The current version of the Vendor Inspection Program Plan (VIPP): <http://www.nrc.gov/reactors/newreactors/oversight/quality-assurance/vendor-insp.html>**

**EVALUATION:
CRITERIA:**

At the completion of this activity, the candidate should be knowledgeable in the following areas:

1. How the Appendix B criteria applies to vendors and how the criteria are used during vendor inspections.
2. Methods acceptable to the NRC staff for complying with the Commission's regulations with regard to overall quality assurance program requirements and implementation as described in NRC Regulatory Guides.
3. Understand how the ANSI and ASME standards specify requirements for the establishment and execution of quality assurance programs for the siting, design, construction, operation, and decommissioning of nuclear facilities that meet the requirements of Appendix B.
4. The criteria used by the NRC specified in the SRP to evaluate a quality assurance program description provided by an applicant for a design certification, combined license, early site permit, construction permit or an operating license.
5. Understand NRC guidance on managing quality assurance records in electronic media.
6. Understand how vendors, particularly international vendors, attempt to implement an ISO Q9001-2000 program in lieu of an Appendix B program.
7. Understand how the VIPP is applied to the NRC vendor inspection organization.

TASKS:

1. Review Appendix B and discuss the application to vendors with a qualified vendor inspector.
2. Review the specified industry guidance and discuss how the guidance meets the requirements of Appendix B with a qualified vendor inspector.
3. Review the specified Regulatory Guides and RIS and discuss their application to vendors with a qualified vendor inspector.
4. Review SRP 17.5 and discuss its application to vendors with a qualified vendor inspector.
5. Review ISO Q9001-2000 and discuss its similarities with, and differences from, 10 CFR Part 50 Appendix B with a qualified vendor inspector.

6. Meet with your supervisor or a qualified vendor inspector to discuss any questions that you may have as a result of this activity and to demonstrate that you can meet the evaluation criteria listed above.

7. Review and discuss the VIPP with a qualified vendor inspector.

DOCUMENTATION:

Obtain your supervisor's signature in the line item for Item ISA-VI-1 in the Vendor Inspector Technical Proficiency Level Signature Card and Certification Form.

Vendor Inspector Technical Proficiency Individual Study Activity

TOPIC: (ISA-VI-2) 10 CFR Part 21 Reporting of Defects and Noncompliance.

PURPOSE: The purpose of this activity is to familiarize the candidate with the procedures, guidance and activities applicable to the Reporting Requirements of 10 CFR Part 21, and defect reporting bases and guidance.

COMPETENCY AREAS: INSPECTION

LEVEL OF EFFORT: 15 hours

REFERENCES:

1. 10 CFR Part 21 (Part 21), "Reporting of Defects and Noncompliance"
2. Section 206, "Noncompliance" of the Energy Reorganization Act of 1974
3. NUREG-0302, "Remarks Presented (Questions/Answers Discussed) at Public Regional Meetings to Discuss Regulations (10 CFR Part 21) for Reporting of Defects and Noncompliance," Revision 1, July 1977
4. 10 CFR 50.55(e)
5. LIC-403, "Procedures for Handling Deficiency Reports (10 CFR Part 21, 10 CFR Part 50.55(e))"

EVALUATION CRITERIA: After completing this study, the candidate should be able to:

1. Discuss the requirements of Part 21, its legal basis and applicability to licensees and vendors.
2. Understand the differences between a deviation and a defect and the vendor's responsibility toward both.
3. Identify the attributes you will be looking for compliance with Part 21 during a plant tour of the vendor's facilities.
4. Understand the differences between Part 21 and 50.55(e).
5. Identify the records that the vendor should have to demonstrate compliance with this regulation.
6. Understand how the need for performance of a vendor inspection may be identified through NRC staff review of Part 21 notifications.

TASKS:

The activities listed below shall be performed under the guidance of a qualified vendor inspector. Discuss the evaluation criteria with your supervisor for documentation on signature card:

1. Review the references to understand the principles discussed in the evaluation criteria.
2. Discuss the general requirements of Part 21 with your supervisor or qualified vendor inspector.
3. Gain a general understanding of a vendor's Part 21 Program through discussions with a qualified vendor inspector. If possible, review a vendor's Part 21 implementing procedure and discuss your observations with a qualified vendor inspector.
4. Meet with your supervisor or a qualified vendor inspector to discuss any questions that you may have as a result of this activity and demonstrate that you can meet the evaluation criteria listed above.

DOCUMENTATION:

Obtain your supervisor's signature in the line item for Item ISA-VI-2 in the Vendor Inspector Technical Proficiency Level Signature Card and Certification Form.

Vendor Inspector Technical Proficiency Individual Study Activity

TOPIC: (ISA-VI-3) Commercial Grade Dedication

PURPOSE: The purpose of this activity is to familiarize the candidate with the procedures, guidance and activities applicable to the commercial-grade dedication process. The candidate should develop an understanding of how a commercial item can be used as a basic component through a dedication process. In all cases, the dedication process must be conducted in accordance with the applicable provisions of Appendix B to 10 CFR Part 50.

COMPETENCY AREAS: REGULATORY FRAMEWORK
INSPECTION

LEVEL OF EFFORT: 16 hours

- REFERENCES:**
1. 10 CFR Part 21, "Reporting of Defects and Noncompliance"
 2. GL 89-02, "Actions to Improve the Detection of Counterfeit and Fraudulently Marketed Products"
 3. GL 91-05, "Licensee Commercial-Grade Procurement and Dedication Programs"
 4. EPRI NP-5652, "Guideline for the Utilization of Commercial Grade Items in Nuclear Safety Related Applications (NCIG-07)"
 5. EPRI Report NP-6406, "Guidelines for the Technical Evaluation of Replacement Items in Nuclear Power Plants (NCIG-11)"
 6. NRC Inspection Procedure (IP) 38703, "Commercial Grade Dedication"
 7. NRC IP 43004, "Inspection of Commercial-Grade Dedication Programs"
 8. Regional or Office guidance on handling of Part 21 reports
 9. **EPRI NP-7218 "Guideline for the Utilization of Sampling Plans for Commercial Grade Item Acceptance (NCIG-19)"**

EVALUATION CRITERIA: Use the references above and/or sections of the references above to answer the Evaluation Criteria. At the completion of this activity, you will be asked to demonstrate your understanding of the Vendor Inspector's role with regard to commercial grade dedication by successfully discussing the following:

1. State the purpose of commercial grade dedication.
2. State the four acceptable methods of accepting commercial grade items. Be able to describe key characteristics of each method.
3. Describe what is meant by critical characteristics and their importance to the commercial grade dedication process.
4. Define like-for-like replacement and describe when it can be used.
5. Describe the three characteristics of effective procurement and dedication programs.
6. Describe EPRI guidance on sampling.

TASKS:

The activities listed below shall be performed under the guidance of a qualified vendor inspector. Discuss the evaluation criteria with your supervisor for documentation on signature card:

1. Review the references to understand the principles discussed in the evaluation criteria.
2. Review Enclosure 1 to GL 91-05 for specifics of inspection findings related to commercial grade dedication programs.
3. Discuss the evaluation criteria with a qualified vendor inspector or with your Supervisor.

DOCUMENTATION:

Obtain your supervisor's signature in the line item for Item ISA-VI-3 in the Vendor Inspector Technical Proficiency Level Signature Card and Certification Form.

**Vendor Inspector Technical Proficiency
On-the-Job Activities**

Vendor Inspector Technical Proficiency On-the-Job Activity

TOPIC: (OJT-VI-1) Preparing for a Vendor Inspection

PURPOSE: The purpose of this activity is to provide the candidate with experience in the actions and research required to adequately prepare to perform a vendor inspection.

COMPETENCY AREAS: INSPECTION

LEVEL OF EFFORT: 20 hours

REFERENCES:

1. NRC Inspection Manual Chapter 2700, "Vendor Inspection Program"
2. Inspection Procedure (IP) 43001, "Reactive Inspection of Nuclear Vendors"
3. IP 38703, "Commercial Grade Dedication"
4. IP 43004, "Inspection of Commercial-Grade Dedication Programs"
5. IP36100, "Inspection of 10 CFR Parts 21 and 50.55(e) Programs for Reporting Defects and Noncompliance"

EVALUATION CRITERIA: At the completion of this activity, a candidate should be able to:

1. State the actions required to be taken prior to the performance of a vendor inspection.
2. State the areas to be researched and reviewed prior to a vendor inspection.
3. State the goals of the vendor inspection.

TASKS:

1. Attend a telephone call with a vendor to announce the upcoming inspection and to obtain confirmation on the inspection dates.
2. Explain how to obtain a vendor inspection docket number.
3. Prepare an Announcement Letter which formally informs the vendor of the upcoming inspection and documents the dates.
4. Identify the goals of the inspection and to allow for the preparation of an Inspection Plan. The research should include the review of any current documentation (e.g. allegations), and review of Part 21

reports and the vendor docket file for information related to the specific areas to be inspected.

5. Prepare the inspection plan for the vendor inspection.
6. Prepare entrance meeting notes.
7. Meet with your supervisor or a qualified vendor inspector to discuss any questions that you may have as a result of this activity and demonstrate that you can meet the evaluation criteria listed above.

DOCUMENTATION:

Obtain the supervisor's signature in the line Item OJT-VI-1 of the Vendor Inspector Qualification Signature Card.

Vendor Inspector Technical Proficiency On-the-Job Activity

- TOPIC:** (OJT-VI-2) Conducting a Vendor Inspection
- PURPOSE:** The purpose of this activity is to provide the candidate with experience in the actions and activities required to successfully perform a vendor inspection.
- COMPETENCY AREAS:** INSPECTION
- LEVEL OF EFFORT:** Varies
- REFERENCES:** See OJT-VI-1, Preparing for a Vendor Inspection
- EVALUATION CRITERIA:** At the completion of this activity, a candidate should be able to:
1. State the actions required to be taken during the performance of a vendor inspection.
 2. State examples of the protocol required to be adhered to during the performance of the vendor inspection.
 3. State the key points to be made to the vendor during the entrance and exit meeting.
 4. State how the goals of the vendor inspection were achieved by the activities performed during the inspection.
- TASKS:** During the preparation or performance of a vendor inspection, discuss the required protocol during the performance of the vendor inspection with a qualified inspector or supervisor.
1. Discuss NRC guidelines for sharing written notes or other information with a vendor.
 2. Discuss how inspection findings are to be characterized during an inspection exit meeting.
 3. Discuss how allegation-related information should be handled and/or addressed during the inspection.
 4. Discuss the proper handling of vendor proprietary information and copying and removal of vendor documents.
 5. Attend an inspection entrance meeting.

6. Perform inspection tasks assigned which may include: (1) the review of documents, (2) observation of activities, (3) inspection of equipment, material, and product, and (4) interviewing of vendor personnel.
7. Attend an inspection exit meeting.
8. Meet with your supervisor or a qualified vendor inspector to discuss any questions that you may have as a result of this activity and demonstrate that you can meet the evaluation criteria listed above.

DOCUMENTATION:

Obtain your supervisor's signature in the line Item OJT-VI-2 of the Vendor Inspector Technical Proficiency Level Signature Card and Certification Form.

Vendor Inspector Technical Proficiency On-the-Job Activity

- TOPIC:** (OJT-VI-3) Writing a Vendor Inspection Report
- PURPOSE:** The purpose of this activity is to provide the candidate with experience in the actions and research required to document the results of an inspection conducted at a vendor.
- COMPETENCY AREAS:** INSPECTION
- LEVEL OF EFFORT:** 40 hours
- REFERENCES:**
1. Inspection Manual Chapter 0612, "Inspection Reports"
 2. OJT-VI-1, "Preparing for a Vendor Inspection"
- EVALUATION CRITERIA:** At the completion of this activity, a candidate should be able to:
1. State the steps taken and the information used to prepare vendor inspection report input.
 2. State the attributes to look for in an inspection report input to verify that the goals of the inspection have been accomplished and adequately verified.
 3. State the steps that are required to assemble the inspection report into its final form and prepare the cover letter that transmits the report to the vendor.
- TASKS:**
1. Prepare inspection report input based on the task(s) assigned during an inspection. Sources of information will be notes taken during the inspection and review of vendor documents (both on and off-site).
 2. Prepare a Notice of Nonconformance (NON) or Notice of Violation (NOV), if identified during the course of the vendor inspection.
 3. Draft the cover letter which will transmit the vendor inspection report and any NOVs or NONs to the vendor.
 4. Draft the ADAMS Document submission sheet (Form NRC-665) which is required to be submitted with the vendor inspection report.
 5. Meet with your supervisor or a qualified vendor inspector to discuss any questions that you may have as a result of this activity and demonstrate that you can meet the evaluation criteria listed above.

DOCUMENTATION:

Obtain your supervisor's signature on the line Item OJT-VI-3 on the Vendor Inspector Technical Proficiency Level Signature Card and Certification Form.

**Vendor Inspector Technical Proficiency Level
Signature Card and Certification**

Inspector Name: _____	Employee Initials / Date	Supervisor's Signature / Date
<i>Required Training Courses</i>		
None identified		
<i>Individual Study Activities</i>		
ISA-VI-1 Vendor Quality Assurance Program		
ISA-VI-2 10 CFR Part 21 Reporting		
ISA-VI-3 Commercial-Grade Dedication		
<i>On-the-Job Activities</i>		
OJT-VI-1 Preparing for a Vendor Inspection		
OJT-VI-2 Conducting a Vendor Inspection		
OJT-VI-3 Writing a Vendor Inspection Report		

Supervisor's signature indicates successful completion of all required courses and activities listed in this journal and readiness to appear before the Oral Qualification Board.

Supervisor's Signature: _____ Date: _____

Form 1: Vendor Inspector Technical Proficiency Level Equivalency Justification	
Inspector Name: _____	Identify equivalent training and experience for which the inspector is to be given credit
<i>Required Training Courses</i>	
None identified	
<i>Individual Study Activities</i>	
ISA-VI-1 Vendor Quality Assurance Program	
ISA-VI-2 10 CFR Part 21 Reporting	
ISA-VI-3 Commercial-Grade Dedication	
<i>On-the-Job Activities</i>	
OJT-VI-1 Preparing for a Vendor Inspection	
OJT-VI-2 Conducting a Vendor Inspection	
OJT-VI-3 Writing a Vendor Inspection Report	

Supervisor's Recommendation: Signature / Date: _____

Division Director's Approval: Signature / Date: _____

Copies to: Supervisor, Inspector, and Human Resources

Revision History Sheet
Attachment 1

Commitment Tracking Number	Accession Number Issue Date Change Notice	Description of Change	Description of Training Required and Completion Date	Comment and Feedback Resolution Accession Number
N/A	01/10/08 CN 08-001	Appendix C-8 was extensively revised to update the content and format of the document. Completed 4 year historical CN search.	None	ML073510727
N/A	ML12248A339 12/19/12 CN-12-029	This revision updates references in ISA-1 and ISA-3, adds Evaluation Criteria 6 to ISA-3, and adds new knowledge requirements (a reference, evaluation criteria, and task) regarding the vendor inspection program plan to ISA-1.	None	ML12290A180