

NUPIC

COMPLIANCE COMMITTEE PROCEDURE

REVISION 1, 7/19/90

APPROVED  DATE 27...9/90

CHAIRMAN

NUPIC COMPLIANCE COMMITTEE PROCEDURE

I. PURPOSE

This procedure establishes the methods used to assure that Nuclear Procurement Issues Committee (NUPIC) audits meet the requirements of the Joint Audit Procedure.

II. SCOPE

This procedure applies to the NUPIC Compliance Committee in determining the acceptability of audits performed under the NUPIC Joint Audit program.

III. REFERENCES

- A. NUPIC Joint Audit Procedure
- B. NUPIC Charters

IV. RESPONSIBILITIES

- A. The Compliance Committee is responsible for the overall implementation of this procedure.
- B. The membership is responsible for responding to problems identified by the Compliance Committee in a timely manner and for taking appropriate corrective action.
- C. The Steering Committee is responsible for maintaining an overview of problems identified by the Compliance Committee and for taking actions with member organizations when necessary to resolve untimely or inadequate corrective actions.

V. INSTRUCTIONS

- A. The Compliance Committee shall:
 - 1. Perform a review of each Joint Audit using the checklist provided as Attachment A to this procedure. The Compliance Committee review shall be completed within 30 days after receipt of audit package from the lead auditor utility. The NUPIC Lead Utility Representative shall be notified of any discrepancy found during the review with a request to provide necessary corrections within 30 days after notification.
 - 2. Provide a copy of the completed Checklist to the Compliance Committee Chairman.

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3. Compliance Committee Members shall track discrepancies issued by them to ensure adequate corrections are made within 30 days after Lead Auditor Utility has been notified of deficiencies.
 4. Escalate any failure to take appropriate corrective action to the Compliance Committee Chairman.
- B. The Compliance Committee Chairman shall:
1. Assist Compliance Committee members in the resolution of discrepancies found in audit reports.
 2. Escalate problems to the appropriate Steering Committee Regional Representative when required.
 3. Provide a draft copy of the Compliance Committee report to members of the Compliance Committee for review and comment approximately two weeks prior to each NUPIC meeting. Comments shall be resolved by the Compliance Committee Chairman prior to the issuance of the final report.
 4. Provide reports of the results of the Compliance Committee's reviews at each NUPIC meeting.
 5. Provide Compliance Committee members with a schedule of audits for their review.
- C. NUPIC Representatives shall, when notified of any discrepancies with reports issued by their utilities, take appropriate actions to resolve the concerns. Necessary corrections shall be issued by the Representatives to all recipients of the original report.
- D. The Steering Committee Regional Representative shall contact appropriate personnel to achieve resolution of uncorrected problems.

NUPIC AUDIT VERIFICATION CHECKLIST

Scope: The purpose of this checklist is to provide the NUPIC Steering Committee with documented evidence that the requirements of the Joint Audit Procedure have been researched and addressed in the preparation, performance, and report of NUPIC vendor audits.

AUDIT IDENTIFICATION DATA

1. Name and address of vendor audited:

2. Name and phone numbers of Vendor QA personnel to be contacted if necessary:

_____ (____) _____
_____ (____) _____
_____ (____) _____

3. Name of NUPIC audit team members to be contacted if necessary:

Lead Auditor

Team Member

Team Member

Team Member

NUPIC AUDIT VERIFICATION CHECKLIST

Items for Review:

Sat Unsat

I. AUDIT PREPARATION

1. Verify that the checklist used for the audit is approved and of current revision.

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2. Verify lead auditor qualifications by reviewing copies of their lead auditor certification.

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3. Verify that a copy of the audit plan, audit schedule, and NUPIC Joint Audit Program Description was sent to vendor. (Notification letter and Audit Plan shall be sent to each NUPIC representative at least 30 days prior to audit.)

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II. AUDIT REPORT

A. Checklist

1. Verify all Sats, Unsats, or Not Applicable are marked for each Method of Verification in the Results column of the checklist.

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NUPIC AUDIT VERIFICATION CHECKLIST

2. Verify that all areas of the checklist and data sheets for each checklist section have been completed and/or appropriately annotated. The use of "Not Audited" is not permitted.

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3. Verify that an Assessment/Summary is included for each Method of Verification and/or subpart of the Method of Verification on the checklist.

() ()

4. Verify that the basis for any Method of Verification marked N/A, "Not Applicable," is explained in the Assessment/Summary column.

() ()

5. Verify all supplemental pages, if added, are properly marked or adequately identified in the Assessment/Summary column where applicable.

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6. Verify that the Joint/Member Audit Checklist cover sheet has been completed or properly annotated and signed by audit team leader and the NUPIC representative or his designee.

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NUPIC AUDIT VERIFICATION CHECKLIST

B. Audit Report

1. Verify that the audit report includes:

- a. A description of vendor/supplier's scope of supply/service including applicability of the audited program for safety-related and/or commercial grade procurement.

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- b. A description of any vendor/supplier unique requirements for safety-related and/or commercial grade procurement.

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- c. An assessment of the vendor/supplier's QA program including a description of the significance of any finding and where possible the potential impact on product/service quality.

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- d. An assessment of the corrective action effectiveness from the previous NUPIC Joint Audit.

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NUPIC AUDIT VERIFICATION CHECKLIST

- e. A description of the status of any activities in response to NRC Information (Bulletins, Notices and NUREG-0040 Inspections). () ()

2. Verify that the final report was issued within 30 days from the date of the post audit conference. () ()

3. Verify that the audit report requires corrective action responses from the vendor for each audit finding within 30 days from receipt of the report. () ()

4. Verify that the audit report mailed to NUPIC members includes copies of lead auditor certs for all team members, audit report, audit checklist, and a copy of transmittal letter that was sent to vendor. () ()

NUPIC AUDIT VERIFICATION CHECKLIST

5. Verify that the contents of the audit package is legible and reproducible.

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Individual notified of unsatisfactory areas:

Name: _____

Company: _____

Date: _____

Time: _____

Compliance Committee Representative:
