

NUPIC

MEMBER AUDIT PROCEDURE

REVISION 0, 7/18/89

APPROVED

Shirley K. Latta

DATE

7/18/89

CHAIRMAN

NUPIC MEMBER AUDIT PROCEDURE

I. PURPOSE

This procedure establishes the methodology to be used for the conduct of individual utility supplier audits to assure to assure product quality and assess the effectiveness of supplier QA program implementation.

II. SCOPE

This procedure applies to those audits performed under the the NUPIC Member Audit Program using the NUPIC Member Audit Checklist.

III. REFERENCES

- A. NUPIC Charter
- B. ANSI N45.2.12-1977, Requirements for Auditing Quality Assurance Programs for Nuclear Power Plants
- C. ANSI N45.2.23-1978, Qualifications of Quality Assurance Program Audit Personnel for Nuclear Power Plants

IV. RESPONSIBILITIES

- A. Each NUPIC Representative is responsible for:
 - 1. Maintaining cognizance of those audits which their company will submit for inclusion in the NUPIC database.
 - 2. Meeting the commitments defined in the NUPIC Charter.
 - 3. Reviewing the Audit Plan, Audit Package and the Audit Summary for conformance with this Procedure.
- C. The NUPIC Member Audit Committee is responsible for assuring that NUPIC Members meet the commitments defined in the NUPIC Charter and coordinating the Member Audit Program.
- D. NUPIC Member Audits shall be performed by personnel qualified in accordance with ANSI N45.2.23. The Audit Team Leader shall be a direct employee of the Member company.

- E. Preparation, performance, reporting and follow-up of Member Audits shall be accomplished in accordance with the requirements of this procedure and the QA Program of the Audit Team Leader's company.

V. INSTRUCTIONS

A. Audit Scheduling

1. Member Audits shall be of a duration suitable for assessing the vendor/supplier's performance toward furnishing a product which conforms with procurement document requirements.

B. Audit Plan

1. An Audit Plan shall be prepared by the Audit Team Leader. The Plan shall reference the use of the NUPIC Member Audit Checklist.
2. The Plan shall be reviewed and approved by the NUPIC Representative for conformance to the company's QA Program and this Procedure.

C. Entrance Meeting

1. The Audit Team Leader shall schedule an entrance meeting with appropriate levels of the vendor/supplier's management to advise them of the audit scope and Plan, introduce the audit team, meet counterparts, discuss the audit sequence, and establish communication channels that will be used during the course of audit.

D. Audit Performance

1. The Audit Team shall conduct the audit in accordance with the Audit Plan, the NUPIC Member Audit Checklist and the associated Checklist Guidelines.

E. Exit Meeting

1. The Audit Team Leader shall conduct an exit meeting with appropriate levels of the vendor/supplier's management to present the results of the audit (satisfactory and unsatisfactory). During the meeting, and subsequent correspondence, the supplier shall be informed of any nonconformance or discrepancies and be

requested to implement corrective actions.

F. Audit Reporting

1. An Audit Report shall be prepared, reviewed, approved and issued in accordance with the Audit Team Leader's QA Program. The Report shall include an assessment of the supplier's performance relative to QA Program implementation.
2. Audits to be included in the NUPIC database shall be supported by a completed NUPIC Member Audit Checklist.
3. The Audit Team Leader shall notify their NUPIC Representative of any significant findings which warrant immediate notification to NUPIC Members. The Representative shall notify each of the Regional Representatives of such findings for communication within their Regions.

G. Audit Summary Sheet

An Audit Summary Sheet (Attachment A) shall be prepared by the Audit Team Leader. This sheet shall serve as the cover sheet for the audit package. The Audit Summary Sheet shall be signed by the Audit Team Leader's Representative to indicate that the audit package and the Summary Sheet are complete.

NUPIC AUDIT SUMMARY

DISTRIBUTION IS LIMITED TO NUPIC MEMBERS ONLY

SUPPLIER NAME: _____ MEMBER AUDIT
JOINT AUDIT

ADDRESS: _____

SUPPLIER CONTACT: _____ TELEPHONE: _____

SUPPLIER PRODUCT/SERVICE: _____

SUPPLIER QA PROGRAM DOCUMENT: _____

SUPPLIER QA PROGRAM BASIS:

_____ 10CFR50 APPENDIX B	_____ 10CFR21
_____ ANSI N45.2	_____ OTHER
_____ ASME III, NCA 4000	_____
_____ ASME III, NCA 3800 (MM)	_____
_____ ASME III, NCA 3800 (MS)	_____

AUDIT DATA:

AUDIT NO: _____	AUDIT DATES: _____
ATL: _____	UTILITY: _____ TEL: _____
ATM: _____	UTILITY: _____
ATM: _____	UTILITY: _____
ATM: _____	UTILITY: _____
ATM: _____	UTILITY: _____

SUMMARY OF AUDIT RESULTS: _____

REVIEWED BY (NUPIC REPRESENTATIVE): _____ DATE: _____