

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

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Table of Contents

Introduction	5
Required Vendor Inspector Training Courses	5
Required Refresher Training	5
Vendor Inspector Technical Proficiency Individual Study Activities	7
(ISI-VI-1) Quality Assurance and Defect Reporting Bases and Guidance . . .	9
(ISI-VI-2) Allegations	11
Vendor Inspector Technical Proficiency On-the-Job Activities	13
(OJT-VI-1) Preparing for a Vendor Inspection	15
(OJT-VI-2) Conducting a Vendor Inspection	17
(OJT-VI-3) Writing a Vendor Inspection Report	19
(OJT-VI-4) Allegations	21
Vendor Inspector Technical Proficiency Level	
Signature Card and Certification	23
Form 1: Vendor Inspector Technical Proficiency Level	
Equivalency Justification	25

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Introduction

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.

Required Vendor Inspector Training Courses

None identified

Required Refresher Training

None identified

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**Vendor Inspector Technical Proficiency
Individual Study Activities**

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Vendor Inspector Individual Study Activity

TOPIC: (ISA-VI-1) Quality Assurance and Defect Reporting Bases and Guidance

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

COMPETENCY AREAS: TECHNICAL AREA EXPERTISE
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. 10 CFR Part 21 (Part 21), "Reporting of Defects and Noncompliance."
3. Regulatory Guide 1.28 (Reg Guide), "Quality Assurance Program Requirements."

EVALUATION CRITERIA: At the completion of this activity, you should be knowledgeable in the following areas:

1. State the Appendix B criteria and how it applies to vendors and how the criteria are used during vendor inspections.
2. State the basis for Part 21's, "Reporting of Defects and Noncompliance" applicability to vendors and what the vendor is required to do to comply with Part 21.
3. State what American National Standards (ANSI) and American Society of Engineers (ASME) guidance is endorsed by Reg Guide 1.28 and the exceptions to the guidance (contained in Reg Guide 1.28) which are required to be met in order for a vendor to use the endorsement.

TASKS:

1. Review Appendix B and discuss the application to vendors with a qualified vendor inspector.

2. Review Part 21 and discuss the application to vendors with a qualified vendor inspector.
3. Review Reg Guide 1.28 and discuss the application to vendors with a qualified vendor inspector.
4. Meet with your supervisor or 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.

DOCUMENTATION: Vendor Inspector Qualification Signature Card,
Item ISA-VI-1

Vendor Inspector Individual Study Activity

- TOPIC:** (ISA-VI-2) Allegations
- PURPOSE:** The purpose of this activity is to familiarize you with the procedures, guidance and activities applicable to the handling the receipt, processing, review and closure of vendor related allegations.
- COMPETENCY AREAS:** TECHNICAL AREA EXPERTISE
INSPECTION
- LEVEL OF EFFORT:** 10 hours
- REFERENCES:**
1. Management Directive 8.8, "Management of Allegations."
 2. NRR Form 613, "Disclosure of Alleger's Identity."
 3. NRR Pocket Form, "Questions to Ask the Alleger."
- EVALUATION CRITERIA:** At the completion of this activity you should be able to perform the following for vendor related allegations:
1. State the criteria used to evaluate a statement to determine if it is a potential allegation.
 2. State the purpose of, and the steps taken to prepare, an Allegation Review Board (ARB) briefing sheet.
 3. State the steps taken to prepare for the presentation of an allegation to the ARB.
 4. Discuss the criteria used to determine whether there is sufficient information to close an allegation.
 5. State the purpose of, and the steps taken to prepare, allegation closure documentation.
- TASKS:**
1. Review Management Directive 8.8, "Management of Allegations;" NRR Form 613, "Disclosure of Alleger's Identity;" and the NRR Pocket Form, "Questions to Ask the Alleger."
 2. Review a recently received allegation to determine the basis on which it was determined to meet the definition of an

allegation as documented in Management Directive 8.8, "Management of Allegations. "

3. Review an ARB briefing sheet.
4. Attend an ARB meeting.
5. Review an allegation closeout memorandum or closeout letter to understand the rationale and basis for an allegation closeout.
6. Meet with your supervisor or the Office Allegation Coordinator (OAC) 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.

DOCUMENTATION: Vendor Inspector Qualification Signature Card,
Item ISA-VI-2

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

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Vendor Inspector On-the-Job Activity

- TOPIC:** (OJT-VI-1) Preparing for a Vendor Inspection
- PURPOSE:** The purpose of this activity is to provide experience in the actions and research required to adequately prepare to perform a vendor inspection.
- COMPETENCY AREAS:** TECHNICAL AREA EXPERTISE
INSPECTION
- LEVEL OF EFFORT:** 20 hours
- REFERENCES:**
1. Inspection Procedure 43001, "Reactive Inspection of Nuclear Vendors."
 2. 10 CFR Part 50, Appendix B, "Quality Assurance Criteria for Nuclear Power Plants and Fuel Reprocessing Plants."
 3. 10 CFR Part 21, "Reporting of Defects and Noncompliance."
 4. Manual Chapter 2700, "Vendor Inspection Program."
 5. Generic Letter 89-02, "Action to Improve the Detection of Counterfeit and Fraudulently Marketed Products," March 21, 1989.
 6. Generic Letter 91-05, "Licensee Commercial-Grade Procurement and Dedication Programs," April 9, 1991.
- EVALUATION CRITERIA:** At the completion of this activity, you 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 and listen during a telephone call with a vendor to announce the upcoming inspection and to obtain confirmation on the inspection dates.

2. If the vendor does not have a docket number obtain one from the person identified by the section chief.
3. Prepare the Announcement Letter which formally informs the vendor of the upcoming inspection and documents the dates. Use a previously issued announcement letter as a template.
4. Perform the required research to 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 the vendor docket file for information related to the specific areas which are going to be inspected.
5. Prepare the inspection plan for the vendor inspection. Use a previously issued inspection plan as a template.
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: Vendor Inspector Qualification Signature Card,
Item OJT-VI-1

Vendor Inspector On-the-Job Activity

- TOPIC:** (OJT-VI-2) Conducting a Vendor Inspection
- PURPOSE:** The purpose of this activity is to provide experience in the actions and activities required to successfully perform a vendor inspection.
- COMPETENCY AREAS:** TECHNICAL AREA EXPERTISE
INSPECTION
- LEVEL OF EFFORT:** Varies
- REFERENCES:**
1. Inspection Procedure 43001, "Reactive Inspection of Nuclear Vendors."
 2. 10 CFR Part 50, Appendix B, "Quality Assurance Criteria for Nuclear Power Plants and Fuel Reprocessing Plants."
 3. 10 CFR Part 21, "Reporting of Defects and Noncompliance."
 4. Manual Chapter 2700, "Vendor Inspection Program."
- EVALUATION CRITERIA:** At the completion of this activity, you 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:**
1. During the performance of the subsequent tasks observe and discuss the required protocol during the performance of the vendor inspection with the lead inspector. The protocol will include information not to be shared with the vendor (e.g. predecisional information, allegation related information, or information related to licensees or other vendor inspectors); conduct of NRC inspectors during a vendor inspection; handling of vendor proprietary information; and copying and removal of vendor documents. Obtain information on the

protocol from the section chief or a qualified vendor inspector.

2. Attend and listen during a telephone call with a vendor, just prior to the inspection, to verify the upcoming inspection, the inspection dates, the primary vendor contact and the location and time of the inspection entrance meeting.
3. Attend and listen during the presentation of the inspection entrance meeting.
4. Perform each of the tasks assigned which will include: (1) the review of documents, (2) observation of activities, (3) inspection of equipment, material, and product, and (4) interviewing of vendor personnel.
5. Attend and listen in the daily briefings of the vendor. Participate in the discussion at the level indicated to you by the lead inspector.
6. Attend and listen during the inspection exit meeting.
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: Vendor Inspector Qualification Signature Card,
Item OJT-VI-2

Vendor Inspector On-the-Job Activity

TOPIC: (OJT-VI-3) Writing a Vendor Inspection Report

PURPOSE: The purpose of this activity is to provide experience in the actions and research required to document the results of an inspection conducted at a vendor.

COMPETENCY AREAS: TECHNICAL AREA EXPERTISE
INSPECTION

LEVEL OF EFFORT: 40 hours

REFERENCES:

1. Inspection Procedure 43001, "Reactive Inspection of Nuclear Vendors."
2. 10 CFR Part 50, Appendix B, "Quality Assurance Criteria for Nuclear Power Plants and Fuel Reprocessing Plants."
3. 10 CFR Part 21, "Reporting of Defects and Noncompliance."
4. Inspection Manual Chapter 0610, "Inspection Reports."

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

1. State the steps taken and the information used to prepare inspection report input.
2. State what attributes to look for in inspection report input to verify that the goals of the inspection have been accomplished and adequately verified.
3. State what steps are required to assemble the inspection report input in the inspection report final form. Discuss development of the cover letter

TASKS:

1. Prepare inspection report input based on the review of documents, observation of activities, inspection of equipment, material, and product, and interviewing of vendor personnel. 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 (this is not required if no NONs or NOVs are identified in the inspections). If none are identified, prepare a sample NON and NOV based on information provided to you be a qualified Vendor Inspector.
3. Draft the letter which will transmit the vendor inspection report and any notices of violation or non-conformance.
4. Draft the ADAMS sheet 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: Vendor Inspector Qualification Signature Card,
Item OJT-VI-3

Vendor Inspector On-the-Job Activity

- TOPIC:** (OJT-VI-4) Allegations
- PURPOSE:** The purpose of this activity is to provide experience in the receipt, processing, review and closure of allegations.
- COMPETENCY AREAS:** TECHNICAL AREA EXPERTISE
INSPECTION
- LEVEL OF EFFORT:** 40 hours

NOTE: The Allegation ISA must be completed prior to performing the OJT.

- REFERENCES:**
1. Management Directive 8.8, "Management of Allegations."
 2. NRR Form 613, "Disclosure of Allegor's Identity."
 3. NRR Pocket Form, "Questions to Ask the Allegor."

- EVALUATION CRITERIA:**
- At the completion of this activity, you should be able to perform the following for vendor related allegations:
1. State the attributes of a potential allegation.
 2. State the required information that is required to be obtained with the receipt of a potential allegation.
 3. State what information is required to be reported and discussed, concerning, a potential allegation with Office Allegation Coordinator (OAC).
 4. State the contents of Allegation Review Board (ARB) briefing sheet.
 5. State how to present an allegation to the ARB.
 6. State what constitutes sufficient information to close an allegation.

TASKS:

1. Participate in a telephone call with an allegor. The purpose of the telephone call should be to obtain and record the required information associated with the receipt of a potential allegation. (Note: In this step, and those that follow, the specific allegation(s) will chosen by the Section Chief or OAC.)
2. Review a recently received potential allegation to determine if it meets the definition of an allegation as documented in Management Directive 8.8, "Management of Allegations. "
3. Prepare an ARB briefing sheet.
4. Present an allegation resolution plan to the ARB.
5. Review the information obtained by the staff (via telephone call, document reviews, interviews, or inspections) to determine if all required actions have been taken and obtain sufficient information has been obtained to close an allegation.
6. Prepare a closeout memorandum or closeout letter to close an allegation.
7. Meet with your supervisor or the OAC 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.

DOCUMENTATION:

Vendor Inspector Qualification Signature Card,
Item OJT-VI-4

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) Quality Assurance and Defect Reporting Bases and Guidance		
(ISA-VI-2) Allegations		
<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		
(OJT-VI-4) Allegations		

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

Supervisor's Signature: _____ Date: _____

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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
Required Training Courses	
None identified	
Individual Study Activities	
(ISA-VI-1) Quality Assurance and Defect Reporting Bases and Guidance	
(ISA-VI-2) Allegations	
On-the-Job Activities	
(OJT-VI-1) Preparing for a Vendor Inspection	
(OJT-VI-2) Conducting a Vendor Inspection	
(OJT-VI-3) Writing a Vendor Inspection Report	
(OJT-VI-4) Allegations	

Supervisor's Recommendation: Signature / Date: _____

Division Director's Approval: Signature / Date: _____

Copies to: Supervisor, Inspector, and Human Resources