


# Provisional Procurement Authorization

Note, for use only with existing approved suppliers

## PART A: REASONABLE ASSURANCE OF SUPPLIER QUALITY PROGRAM CONTINUED EFFECTIVENESS

### Vendor and Station Contact Information

Sequential Number	PPA-20-999-R0
Revision Date	12/11/2020
Condition/Incident Report / Doc Reference	Utility generated IR #:
Supplier Name / Number	ABC Diesel Generator, NUPIC number 99928
Vendor Contact /Title/Phone	John Doe General Manager, Quality Management, Special Applications +33 3 88 67 54 60 45 Email - john.doe @abc.com
Utility Point of Contact /Phone	David Doe, 999-999-9999
Last Audit or Survey Date / No.:	Audit Exit – 7-12-2017, NUPIC # 245001
25% Audit Grace End Date:	Jan 28, 2021
Other Information:	Although this is a NUPIC audit, there are only two US Utilities as users. International users are IBE, KNP, and VAT
Supplier Affirmation of Ongoing QA Program or Control of Critical Characteristics:	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> Not yet received <div style="text-align: center;">                       Quality Statement.pdf                 </div>
Additional Information	<input checked="" type="checkbox"/> Attached: Utility Over/Short/Damaged/Discrepant (OSD&D) report
Additional Information	<input type="checkbox"/> Referenced: N/A

### Reason Audit or Surveillances Can Not Be Performed at Supplier's Facility

ABC Diesel Generator is currently located in the Serbia and Croatia both of which do not allow travel from foreign entities due to Covid-19 and Terrorist activities until further notice. In addition, the utility's travel policy does not permit international travel at this time.

### Reason for PPA:

- |  |   |   |
|--|---|---|
| <input type="checkbox"/> Critical spare part level reached<br><input type="checkbox"/> Unable to dedicate commercial<br><br><input type="checkbox"/> Other (explain below) | <input type="checkbox"/> Not available as received SR<br><input checked="" type="checkbox"/> Alternate Supplier unavailable<br><br><input type="checkbox"/> Other (explain below) | <input type="checkbox"/> Inter-station or utility transfer not available<br><input type="checkbox"/> Impact to station (e.g., TS 3.0.3, Refueling, SOW)<br><br><input checked="" type="checkbox"/> Other: ABC manufactures unique components for the Utility's Emergency Diesel Generators. These components are proprietary and not available from other manufactures. Inter-utility transfers will be limited due to available inventory. Utility X is the only other US Utility that uses this manufacturer. |
|--|---|---|

# Provisional Procurement Authorization

Note, for use only with existing approved suppliers

## Discussion of reason PPA is being used including urgency and basis for reasonable assurance of Quality:

**Need:** Due to lead time and specificity of parts/components, alternate means of these critical parts/components is not an option. ABC is a supplier for specific safety related emergency diesel generators and generator replacement parts, and is subject to additional scrutiny by the regulatory body.

**Alternate Means of Obtaining Part:** None. There are only two US users of safety related components and parts for the ABC brand diesel generator. Due to the lead time of ordering components/parts, utility transfer from the only other US user would be highly unlikely.

## Supplier Quality Performance Reviews:

The following sources have been reviewed in the previous 12 months from Date: 12/11/2020

Based on this information source, is the Supplier QA Program potentially negatively impacted? *Check appropriate box:*

Y	N	N/A		Y	N	N/A		Y	N	N/A	
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	10 CFR Part 21	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	NRC Insp. Reports	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	INPO IRIS Reports
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Vendor Improvement Plan	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Utility CAP Reports	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Supplier QA Location
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Vendor NCRs/CARs	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Supplier QA Man. Changes	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Significant Supplier Org Changes
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Receipt Inspection Reports <i>(list reports reviewed and results below)</i>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Vendor QA Staffing Level	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	NUPIC Industry Issues <i>(including open findings since previous audit)</i>

If the answer to any of the above is "YES" or "N/A", please provide information in comments section below:

## Comments:

Utility supplier issues are documented via the; therefore, the CAP process would not contain and supplier issues for ABC.

Since the audit of ABC was in the final preparation stages prior to restrictions in travel, the audit preparation was completed by Utility X. Conversations were held with the audit lead and it was confirmed that during the preparation phase of the audit, there were no NRC, INPO, Part 21 notifications, or Industry issues identified for ABC. Also, our documented history of ABC does not shown any conditional clauses ever implemented for this company.

## Degree of Standardization and Complexity of Items or Services:

**Describe the degree of standardization and complexity of the item or service. Include any related experience in non-nuclear industries, if applicable.**

ABC is not a commodity based supplier. Scope of Supply is for unique diesel generator components and parts.

## Receipt Inspection Reports Reviewed:

**List receipt inspection reports reviewed from the last three years and their results. Provide an overall conclusion based on these results whether the supplier is adequately performing, or whether additional restrictions should be imposed prior to additional orders.**

**OSD&D:**

# Provisional Procurement Authorization

Note, for use only with existing approved suppliers

## Mitigating Actions Based on Review of Supplier Performance and QA Program Compliance:

*If concerns are identified based on the above "Part A" evaluation, the following mitigating actions may be considered:*

- Enhanced receiving inspections beyond visual inspections and quality checks. Based on safety-significance and complexity of item, consider use of remote source verification as approved in ML20181A445.

N/A

- Identification of any additional requirements/restrictions to be placed on the supplier:

N/A

## Summary/Conclusion, including basis for reasonable assurance of Quality:

### **Determination of Interim Supplier Status:**

- Reasonable Assurance of Quality
- Marginally Effective Evidence of Quality
- Not approved for interim consideration

**Basis:** *Based upon review of ABC quality program, historical Supply issues, Regulatory and Industry issues, it has been determined that the extension of ABC for purchase of safety related diesel engine replacement components and parts is warranted for an additional 6 months or performance of the audit, which-ever comes first.*

## Action Tracking Items Required for Closure and Interim Actions:

This temporary ASL Reinstatement will expire?  Yes  No

Expiration Date: February 1, 2022

Interim review required?  Yes  No

Review periodicity: 6 months (Action Tracking Item)

Other actions: None

# Provisional Procurement Authorization

Note, for use only with existing approved suppliers

Evaluation stops here if supplier QA program can be determined with reasonable assurance to be sufficiently effective with mitigating actions to allow new items or services to be utilized on an interim basis.

## End of PART A

## PART B: REVIEW OF IMPACT ON SPECIFIC PLANT APPLICATION FOR PART INSTALLATION

Should the evaluation conclude the QA program is marginally effective and there is a specific item or service needed to support plant operation and the ability to audit is not possible, continue the evaluation below to document reasonable assurance for specific items and services needed. The below evaluation should support/follow the conditional release or nonconformance disposition process.

### Part Information

Vendor Part Serial Number	
Vendor Part Number	
Vendor Part Description	
Station Identification Number	
Station Part Description	
End Use Application:	
Safety Related SSC Impacted:	
ASME Code Pressure Boundary	
Other Code/Standards	
Engineering Contact	
Classification:	<input type="checkbox"/> Safety-Related <input type="checkbox"/> Non-Safety Related <input type="checkbox"/> 50.69 RISC-3 (NEI 17-05)
Additional Information <input type="checkbox"/> Attached / <input type="checkbox"/> Referenced: Tech Eval 2892888-03	

### Design Bases Function of Part:

--

### Potential Failure Mechanisms:

--

# Provisional Procurement Authorization

Note, for use only with existing approved suppliers

## Operability Determination:

For stations who have not implemented NEI 18-03:

Component: 2A Emergency Diesel Generator

Tech Spec: 3.5.2(a)

Operable  Operable but Non-Conforming  Operable but Non-Conforming with compensatory measures

Operable per 50.69 RISC-3 Evaluation  Inoperable

In addition, the second snubber on this support was tested during the last refueling outage and passed both the drag and functional test with no issues. It will be tested again this outage as a contingency action.

## Risk Assessment (not required where reasonable assurance of operability exists):

Is failure of component or piece part modeled in the station PRA?  Yes  No

Change in CDF: N/A

Compensatory Actions Required based on change in CDF?  Yes  No

Change in CDF with compensatory actions: N/A

Would failure of this component impact defense in depth?  Yes  No  N/A

Discussion:

Would failure of this component result in reduction in safety margin?  Yes  No  N/A

Discussion: No safety margins associated with this function.

Any other licensing / design bases issues associated with failure of this component?  Yes  No

Discussion: No special DB or LB considerations.

## Compensatory Measures (only required if CDF change greater than 1.0 E-07 unmitigated):

1.

# Provisional Procurement Authorization

Note, for use only with existing approved suppliers

## Close out:

This temporary ASL Reinstatement will expire?  Yes  No

Expiration Date:

Interim review required?  Yes  No

Review periodicity:

*This form alone is not a stand-alone quality record. It is a quality record when attached to a quality document. Similar forms meeting the intent may be used.*