

# NIAC ORGANIZATION

## Introduction and Status Update

2024 NUPIC Vendor Conference

Mike Dunkelberger, NIAC Chair

June 2024



**NUCLEAR INDUSTRY  
ASSESSMENT CORPORATION**

# PRESENTATION OVERVIEW

- NIAC Formation
- NIAC Today
- NIAC Membership
- Process for sharing assessments
- Scheduling Process
- NIAC Benefits
- NIAC / NUPIC Collaboration
- NIAC Website



# NIAC Formation – 1994

## (Nuclear Industry Assessment Committee)



### 11 FOUNDING MEMBERS (\*ASME Certificate Holders)

- ABB Combustion Engineering (WEC)\*
- BWNT (Framatome)\*
- Bechtel Power\*
- Crane Nuclear\*
- Crosby Valve\*
- General Electric (GEH)\*
- IST Conax (Mirion Technologies)
- Joseph Oat Company\*
- Nutherm
- Target Rock, Curtiss-Wright Flow Control\*
- Westinghouse Electric Company\*

### Goal

- Share common supplier audits using subcontracted auditing services as the basis for acceptance.

### Challenge

- Develop a charter that defines contractual obligations between members and addresses potential legal issues, including concerns with anti-trust or collusion.

### Concerns


- Benefits vs. costs
- Industry acceptance

# NIAC Today

(Nuclear Industry Assessment Corporation - 2015)



- Over 170 members committed to performing auditing services at the highest industry performance standards.
- Perform ~ 100 assessments per year
  - NIAC Standard Checklist
  - Commercial Grade Survey Checklist
  - Safety Related Calibration Checklist
  - Commercial Grade Calibration Checklist
  - ASME NDE Section III Checklist (supplemental)
  - ASME NDE Section XI Checklist (supplemental)
  - Software Checklist (supplemental)
- Each assessment is performed by one member and shared with other members, as authorized by the supplier.


**NUCLEAR INDUSTRY ASSESSMENT CORPORATION**  
 AUDIT CHECKLIST  
 Revision: 3, Dated: November 14 2010

Page 1 of 57

SUPPLIER INFORMATION:				AUDIT SCOPE	
SUPPLIER:	SDI #			10CFR50 App. B	<input type="checkbox"/>
PRIMARY STREET ADDRESS:				10CFR21	<input type="checkbox"/>
CITY, STATE, ZIP CODE:				ANSI N45.2	<input type="checkbox"/>
SECONDARY/MULTIPLE ADDRESSES:				ASME NQA-1	<input type="checkbox"/> 1994
				<input type="checkbox"/> 2009/2009	<input type="checkbox"/> 2015
TELEPHONE NO.:				REG GUIDE 1.28 Rev. ____	<input type="checkbox"/>
PRODUCT/SERVICE:				NCSL Z540-1*	<input type="checkbox"/>
				IEEE 323*	<input type="checkbox"/>
ASME CODE MARK(S) AND OTHER AUTHORIZATION NO.(S)				IEEE 344*	<input type="checkbox"/>
				IEEE 383*	<input type="checkbox"/>
SUPPLIER CONTACTS:				ASME NCA 3800	<input type="checkbox"/>
SENIOR CO. OFFICER:	TITLE:	PHONE/ EMAIL:		ASME NCA 4000	<input type="checkbox"/>
SENIOR QA OFFICER:	TITLE:	PHONE/ EMAIL:		FIELD SERVICES	<input type="checkbox"/>
AUDIT CONTACT:	TITLE:	PHONE/ EMAIL:		ENG. SERVICES	<input type="checkbox"/>
				10CFR71 Subpart H	<input type="checkbox"/>
				10CFR72 Subpart G	<input type="checkbox"/>
AUDIT INFORMATION:				Software Developer*	<input type="checkbox"/>
NAME OF MEMBER CO.:				SNT-TC-1A*	<input type="checkbox"/>
SDI AUDIT NO./MEMBER NO.:	AUDIT DATES:			10CFR50.55(e)	<input type="checkbox"/>
NIAC MEMBERS AUTHORIZED TO SHARE AUDIT:					
AUDIT TEAM	MEMBER COMPANY	NAME	TELEPHONE NO.	CHECKLIST SECTIONS AUDITED	
TEAM LEADER					
TEAM MEMBER					
TECHNICAL SPECIALIST (SPECIFY DISCIPLINE)					* = Additional checklists / questions are included.

Audit Team Leader: \_\_\_\_\_ Date: \_\_\_\_\_ NIAC Member Representative: \_\_\_\_\_ Date: \_\_\_\_\_

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# NIAC Today

(Nuclear Industry Assessment Corporation - 2015)



- NIAC Board of Directors and Officers
  - Chair - Mike Dunkelberger (MPR)
  - Vice Chair - Stan Griffin (GE-Hitachi Nuclear Energy)
  - Secretary - Jim Peters (NQTS, LLC)
  - Treasurer - Joyce Hamman (NAC International)
  - Compliance Officer - Erik Yost (Curtiss-Wright Electro Mechanical Corp.)
- Steering Committee – 12 Members, including the Directors
- Two annual meetings – June (non-mandatory) and November (mandatory)
- Elections every three years – last held in November 2020

# NIAC Membership



## To join NIAC, you must:

- Sign Member Agreement - abide by the NIAC Bylaws and procedures.
- Provide documentation that your QA Program complies with 10CFR50 Appendix B, or an equivalent DOE Program.
- Have a certified Lead Auditor, qualified by written examination, qualifications satisfy ASME NQA-1 or ANSI N45.2.23.
- Pay the annual membership dues.
- Designate one NIAC member representative and one alternate.
- Attend the mandatory annual meeting and associated training.
- Plan and perform assessments as a safety related service using NIAC checklists.
- Obtain supplier authorization to perform and share audits.
- Distribute audit plans, reports, and follow-up documentation to sharing members.



# Performing and Sharing Supplier Assessments



- Supplier assessments are performance based
  - Obtain input from sharing members, including in-process contracts, as applicable
  - Assess whether required measures are established in the program and implemented effectively.
  - Witness activities to assess implementation; not just a record review.
- Document sufficient objective evidence to support conclusions
- Assessment results are only distributed to sharing members authorized by the assessed supplier
- Each member is responsible for review and acceptance of the assessment results and for ensuring those results satisfy their needs



**NUCLEAR INDUSTRY ASSESSMENT CORPORATION  
AUDIT CHECKLIST**  
Revision: 6, Dated November 10, 2022



**NUCLEAR INDUSTRY  
ASSESSMENT CORPORATION**

<b>SUPPLIER INFORMATION:</b>				<b>AUDIT SCOPE</b>	
SUPPLIER:		SDI #		10CFR50 App. B	<input type="checkbox"/>
PRIMARY STREET ADDRESS:				10CFR21	<input type="checkbox"/>
CITY, STATE, ZIP CODE:				ANSI N45.2	<input type="checkbox"/>
SECONDARY/MULTIPLE ADDRESSES				ASME NQA-1 <input type="checkbox"/> 1994 <input type="checkbox"/> 2008/2009 <input type="checkbox"/> 2015 <input type="checkbox"/>	
TELEPHONE NO.:				REG GUIDE 1.28 Rev. ____	<input type="checkbox"/>
PRODUCT/SERVICE:				NCSL Z540-1*	<input type="checkbox"/>
				IEEE 323*	<input type="checkbox"/>
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<b>SUPPLIER CONTACTS:</b>				ASME NCA 3800	<input type="checkbox"/>
SENIOR CO. OFFICER:	TITLE:	PHONE/ EMAIL:		ASME NCA 4000	<input type="checkbox"/>
SENIOR QA OFFICER:	TITLE:	PHONE/ EMAIL:		FIELD SERVICES	<input type="checkbox"/>
AUDIT CONTACT:	TITLE:	PHONE/ EMAIL:		ENG. SERVICES	<input type="checkbox"/>
				10CFR71 Subpart H	<input type="checkbox"/>
<b>AUDIT INFORMATION:</b>				10CFR72 Subpart G	<input type="checkbox"/>
NAME OF MEMBER CO.:				Software Developer*	<input type="checkbox"/>
SDI AUDIT NO. /MEMBER NO.:	AUDIT DATES:			SNT-TC-1A*	<input type="checkbox"/>
NIAC MEMBERS AUTHORIZED TO SHARE AUDIT:				10CFR50.55(e)	<input type="checkbox"/>
<b>AUDIT TEAM</b>	<b>MEMBER COMPANY</b>	<b>NAME</b>	<b>TELEPHONE NO.</b>	<b>CHECKLIST SECTIONS AUDITED</b>	
TEAM LEADER					
TEAM MEMBER					
TECHNICAL SPECIALIST (SPECIFY DISCIPLINE)					* = Additional checklists / questions are included.

Audit Team Leader: \_\_\_\_\_ Date: \_\_\_\_\_ NIAC Member Representative: \_\_\_\_\_ Date: \_\_\_\_\_

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**SECTION 1 - PROGRAM COMPLIANCE**

INTERNAL LINKS: [SUMMARY OE 1-A](#) [1-B](#) [1-C](#) [1-D](#) [1-E](#) [1-F](#) [2](#) [3](#) [4](#) [5](#) [6](#) [7](#) [8](#) [9](#) [10](#)

METHOD OF VERIFICATION	RESULTS	ASSESSMENT/SUMMARY
<p><b>1. C.1</b> Verify that measures are established and implemented to ensure that a comprehensive system of planned and periodic Internal Audits are performed including the following:</p> <ul style="list-style-type: none"> <li>a. Verify audits are performed at proper frequency.</li> <li>b. Verify an audit plan is developed for each audit, which identifies the audit scope, requirements, audit personnel, activities to be audited, organizations to be notified, applicable documents, schedule, and written procedures or checklists to be used.</li> <li>c. Verify the audit team is identified prior to beginning the audit, and consists of one or more Auditors; one of which is the Lead Auditor who organizes and directs the audit.</li> <li>d. Verify audit team members have experience and training commensurate with the scope, complexity and nature of the audit, have no direct responsibility in the areas audited and have sufficient authority and organizational freedom to make the audit process meaningful and effective.</li> <li>e. Verify the procedures or checklist(s) adequately cover the program elements being assessed, elements selected for audit are evaluated against specified requirements, and objective evidence is examined to the depth necessary to determine if these elements are implemented effectively.</li> <li>f. Verify conditions requiring prompt corrective action are required to be reported immediately to management of the audited organization.</li> <li>g. Verify an audit report identifying the audit scope, Auditors, persons contacted, results, including a statement of effectiveness, and findings is endorsed by the Lead Auditor and issued to the audited organization.</li> <li>h. Verify that audit responses are evaluated by or for the audited organization that that follow-up action, including re-audit of deficient areas, is taken where needed.</li> <li>i. Verify audit plans, reports, written replies, and records of completed corrective actions are maintained.</li> </ul> <p><b>NOTE:</b> Document details of the internal audit program here. Document details of the supplier evaluation and assessment process at Question 3.4. Use Table 1-C to record details for both internal audits and supplier assessments (audits and surveys).</p> <p>Appendix B/ANSI N45.2 Ref: (18/19)            10CFR71 Subpart H 71.137/10CFR72 Subpart G 72.176            ASME Section III, NCA-4259.1, NCA-4134.18            NQA-1 Supplement 18S-1(1994); R18 (2008-09a, 2015)</p> <p>Vendor Manual Reference:            Vendor Procedure(s) Reference, revision and date:</p>		



# NIAC process based on subcontracted assessment services

- Contract for supplier assessment services
  - Established by the NIAC Bylaws and Member Agreements.
- Qualified suppliers of assessment services
  - NIAC member qualification audit of entire membership performed every three years.
  - Supplemental audits performed in interim years for new members and members with significant changes to their procedures for qualifying Lead Auditors and performing supplier assessments.
- To implement the process:
  - Bylaws and Member Agreements provide evidence of contractual requirements.
  - Member Qualification and Supplemental Audits provide the basis for qualifying NIAC members as suppliers of assessment services.
  - Performing members are required to request input from sharing members as part of assessment planning.
  - Member QA programs must include requirements for review and acceptance of NIAC (subcontracted) member audits.

# What is the regulatory basis for sharing audits?



## USNRC Regulatory Guide 1.28, Revisions 3, 4, and 5

“If more than one purchaser buys from a single supplier, a purchaser may either perform or arrange for an audit of the supplier on behalf of itself and other purchasers to reduce the number of external audits of the supplier.

The scope of this audit should satisfy the needs of all the purchasers, and all the purchasers for whom the audit was conducted should receive the audit report.

Nevertheless, each of the purchasers relying on the results of an audit performed on behalf of several purchasers remains individually responsible for the adequacy of the audit.”

## ASME BVPC Section III - 2021 Edition, NCA-3125 (a)

A Certificate Holder may subcontract to another organization the surveying and auditing of his subcontractors and Material Organizations, but must retain the responsibility for these activities and for the qualification of these subcontractors and Material Organizations.

# What is a NIAC audit?



- There is no such thing as a NIAC audit!
- NIAC members perform audits and share the results with other members.
- NIAC provides structure and helps to facilitate the process.

# NIAC Scheduling Process



**August** - Members submit supplier assessment requests for the following year

- Supplier and location.
- Date needed.
- Assessment type (e.g., audit or survey) and scope of supply.

**October** - Preliminary schedule issued

- Identifies the lead and sharing Member organizations for each assessment requested by two or more members.
- Lead member selected based on the ratio of audits performed to audits received.
- Members may trade based on other factors, such as travel distance.

**November** - Schedule for each assessment is finalized during the mandatory meeting

- Supplier and location.
- Month due.
- Assessment type and scope.
- Checklist(s) to be used.

# NIAC Benefits



NUCLEAR INDUSTRY  
ASSESSMENT CORPORATION

- A standard methodology is utilized to perform supplier assessments.
- Member companies reduce costs and time spent performing supplier assessments.
- Suppliers reduce costs and time spent hosting supplier assessments.
- Networking opportunities increase cooperation between industry peers.



*Collectively NIAC members have improved the quality of our audit processes to the benefit of our customers and the industry.*

# NIAC and NUPIC Collaboration



- NIAC update provided at the NUPIC Vendor meeting.
- NIAC members regularly attend the NUPIC Vendor Meeting.
- Open communications between organizations for updates on relevant topics.
- Members of both organizations participate in developing industry guidance.
- Members collaborate in developing breakout presentations during the NUPIC Vendor Meeting.



# NIAC Website



Visit us at [www.niac-usa.org](http://www.niac-usa.org):

## NIAC Home Page



NUCLEAR INDUSTRY  
ASSESSMENT CORPORATION

**NIAC Home**  
**Executive Summary**  
**Officer List**  
**Steering Committee**  
**How to Join**  
**Next Meeting (12/03/20)**  
**NIAC Links**  
**Training**  
**Members Only**

Organized in 1994 by quality professionals as a result of a nuclear industry initiative to share auditing services among the members, the Nuclear Industry Assessment Committee (NIAC) was established. In 2015, we reformed as the Nuclear Industry Assessment Corporation – A California Non-Profit Corporation, which continues to fulfill its bylaws by its members performing auditing services at the highest industry performance standards while eliminating redundancy and costs associated with duplicate supplier audits. NIAC continues to grow from the original eleven (11) members to more than one hundred seventy (170) members globally.

Membership in NIAC is open to companies supplying goods and services to the nuclear industry, which have a quality program which meets or exceeds the requirements of 10CFR50 Appendix B, ASME NQA-1, or equivalent DOE Quality System, and accept 10CFR Part 21. Members must qualify their Lead Auditors to the requirements of ANSI N45.2.23 – 1978 or ASME NQA-1 latest edition endorsed by the NRC, including a written examination.

The Member must agree to comply with the NIAC bylaws, procedures and sign the NIAC Corporate Membership Agreement form.

If you are interested in joining the Nuclear Industry Assessment Corporation, please choose the “How to Join” link on this page and follow the instructions. The NIAC Secretary can help answer any additional questions.

If you need access to this site contact: [NQTSLLC@gmail.com](mailto:NQTSLLC@gmail.com) or at: 281-222-2708

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# NIAC – Questions?



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