Approval: M.D. Gardner _____ Date: 5/21/04
Manager, National Spent Nuclear Fuel Program

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I. PURPOSE AND SCOPE

This procedure establishes the process and responsibilities of the National Spent Nuclear Fuel Program (NSNFP) for training and qualifying personnel who perform audits or surveillances and for maintaining lead auditor proficiency. The procedure addresses the process for accepting assessment team members qualified and/or certified by other quality assurance (QA) auditor qualification programs.

II. SUMMARY

This procedure describes the process and requirements used by NSNFP to qualify lead auditors, auditors, and technical specialists, and the process for maintaining lead auditor proficiency.

III. PROCEDURE

A. Qualification of NSNFP Lead Auditors

QASM 1. Select perspective lead auditors with current NSNFP training and experience verifications in the NSNFP functional positions of QAPM, QASM, QAS or PSO QE as required by NSNFP procedures PMP 2.04 and PMP 2.08.

2. Provide prospective NSNFP lead auditors with NSNFP Form 18.04-2, "NSNFP Lead Auditor Qualification Record," for completion. Obtain copies of objective evidence of relevant experience and training.

3. Using NSNFP Form 18.04-2, verify that the prospective lead auditor meets the criteria of Attachment A.

4. Compile training and qualification records to support completion of Form 18.04-2. Signify that training and qualification documentation is complete by signing and dating Form 18.04-2.

QAPM 5. Certify those individuals who achieve 10 credits per NSNFP Form 18.04-2 and Attachment A.

   a. If the NSNFP Lead Auditor Qualification Record is for the NSNFP QAPM, submit it to the U.S. Department of Energy Idaho Operations Office Manager, NSNFP, for evaluation, signature, and date.

QASM 6. Store the completed Lead Auditor Qualification Record in accordance with NSNFP procedure PMP 17.03

B. Maintaining Lead Auditor Proficiency

QASM

1. On an annual basis, provide each NSNFP-certified lead auditor with NSNFP Form 18.04-4, "NSNFP Lead Auditor Maintenance of Proficiency Record," for completion.

2. Complete NSNFP Form 18.04-4 based on a review of the training and assessment participation records against the criteria established in Attachment A.

   a. If needed, establish the requirements for the lead auditor to regain proficiency using the criteria in Attachment A.

3. Obtain QAPM concurrence.

4. Store the completed NSNFP Form 18.04-4 in accordance with NSNFP procedure PMP 17.03.

C. Qualification of NSNFP Auditors

QASM

1. Select prospective auditor personnel within the NSNFP as needed to staff the NSNFP assessment schedule in conjunction with qualified personnel available from other sources.

2. Provide prospective NSNFP auditors with Form 18.04-1, "NSNFP Auditor Qualification Record," for completion. Obtain copies of objective evidence of relevant experience and training.

3. Using NSNFP Form 18.04-1, verify that the prospective auditor meets the criteria of Attachment B.

4. Obtain QAPM concurrence.

5. Store the completed Auditor Qualification Record in accordance with NSNFP procedure PMP 17.03.

D. Acceptance of Assessment Team Members

QASM or QAPM

1. Prior to the start of each NSNFP audit, complete NSNFP Form 18.04-6 "Assessment Team Member Record," for the assigned lead auditor.

   a. Assigned lead auditors may be individuals qualified by an entity other than NSNFP provided that one of the following conditions exists.

      (1) The individual is currently qualified in accordance with the Lead Auditor Qualification Program representing the Office of Civilian Radioactive Waste Management.

      (2) The individual is currently qualified according to a Lead Auditor Qualification Program evaluated and accepted by NSNFP.

Lead Auditor

2. Prior to the start of each NSNFP assessment, initiate NSNFP Form 18.04-6, "Assessment Team Member Record," for each auditor and technical specialist assigned to the assessment.

   a. Ensure that each assigned auditor meets the criteria of Attachment B.

   b. Ensure that each assigned technical specialist meets the criteria of Attachment C.

3. Process each completed NSNFP Form 18.04-6 with the corresponding assessment record and in accordance with NSNFP procedure PMP 17.01.

IV. REFERENCES

A. None.

V. DEFINITIONS

Terms appearing in italics followed by the notation "see glossary" are defined in the NSNFP Documents Manual Introduction and Glossary.

VI. ATTACHMENTS

Attachment A, Requirements for Qualification of NSNFP Lead Auditors

Attachment B, Requirements for Qualification of NSNFP Auditors

Attachment C, Basis for Selecting Technical Specialists

VII. RECORDS

The following records that are generated as a result of this procedure require retention in accordance with the identified classification and NSNFP PMP 17.01.

Lifetime

A. NSNFP Auditor Qualification Record and supporting documentation

B. NSNFP Lead Auditor Qualification Record and supporting documentation

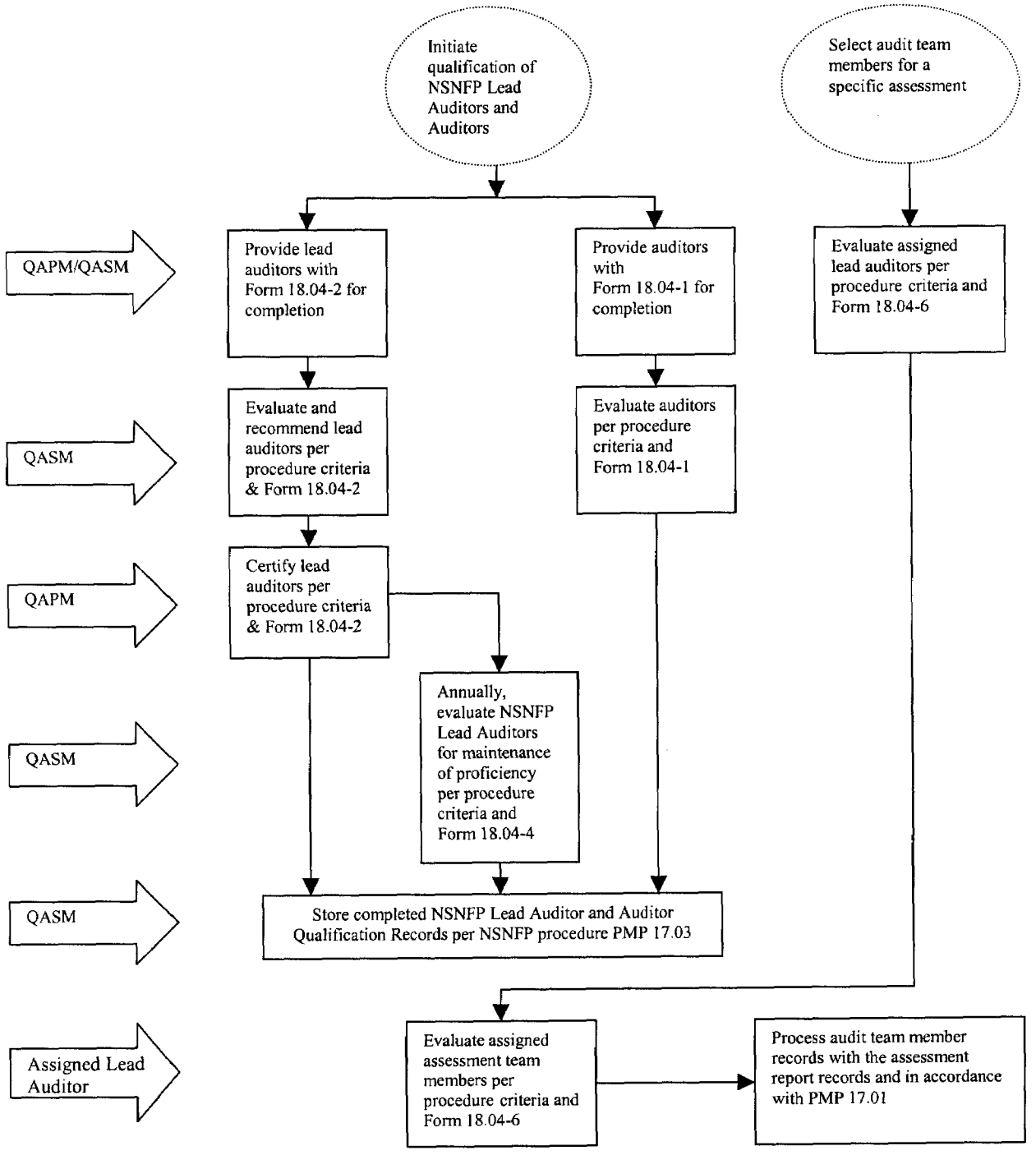
C. NSNFP Lead Auditor Maintenance of Proficiency Record and supporting documentation

D. NSNFP Assessment Team Member Record

Nonpermanent

None.

VIII. PROCEDURE FLOW DIAGRAM



Attachment A
Requirements for Qualification of NSNFP Lead Auditors

Professional Competence	A maximum of two credits may be allocated for verifiable certifications of competency in engineering, science, or QA specialties issued and approved by a state agency or national professional or technical society.
Rights of Management	When determined appropriate, the auditing organization may grant up to two credits for other verifiable performance factors applicable to auditing that are not explicitly called out elsewhere in this attachment. This may include credit for leadership, sound judgment, maturity, analytical ability, tenacity, past performance, and completed QA training courses.
Past Assessment Participation	The lead auditor must have participated in a minimum of five QA audits (equivalent to an audit process as described by NSNFP procedure QAS 18.02) within a period of time not to exceed 3 years prior to the date of certification. One audit shall be a nuclear-related QA audit within the year prior to certification. Participation in these five audits must be verifiable.
Lead Auditor Classroom Instruction	Classroom training is used in conjunction with and may be substituted for on-the job training. Classroom training objectives include: • Knowledge and understanding of the QARD and other program-related procedures, codes, standards, regulations, and regulatory guides • The general structure of QA programs as a whole and the specific elements of the QARD applicable • Auditing techniques of examining, questioning, evaluating, and reporting. Methods of identifying, following up on, and closing corrective action items. Audit planning in functional areas (such as scientific investigation, design, purchasing, construction, fabrication, handling, shipping storage, cleaning, inspection, testing statistics nondestructive examination, maintenance, repair, operation, modification, and safety) of nuclear facilities.
Examination	The auditing organization develops and administers examinations for lead auditors; maintains the integrity of the examination through confidentiality of files and, where applicable, proctoring of examinations; and develops and maintains objective evidence regarding the type and content of the examination. Prospective lead auditors shall pass an examination that evaluates the comprehension of and ability to apply the audit knowledge described in this attachment. The test shall be oral, written practical, or any combination.
Other Training Courses	Optional Proficiency Training: Other training courses related to QA specialties, Root Cause Analysis, or principles of auditing may be taken into consideration under rights of management or for purposes of maintaining proficiency.
On-The Job Training	Classroom training may be substituted for on-the job training. On-the-job training is accomplished through participation in QA audits under the supervision of a lead auditor. On-the-job training includes applicable elements of the audit program. The QARD and NSNFP procedures QAS 16.02, QAS 16.03, QAS 16.04, QAS 18.02, QAS 18.03, and QAS 18.04 are required reading for auditor qualification purposes. This requirement is automatically fulfilled by individuals meeting the NSNFP prerequisites for lead auditor.

Attachment A
Requirements for Qualification of NSNFP Lead Auditors (continued)

Communication Skills Evaluation	In judgment of the candidate's supervisor as attested to in writing, the candidate demonstrates effective oral and written communication skills.
Basis of Certification	The combination of credits allocated for Education, Experience, Professional Competence, and Rights of Management must total a minimum of 10 credits. The achievement of 10 credits considered in conjunction with communication skills, training, examination results, and the additional NSNFP prerequisites form the basis for certification. The certification must be signed by the representative of the auditing organization responsible for certification.
Maintenance of Proficiency	Lead auditors shall maintain their proficiency through one or a combination of the following: • Regular and active participation in the audit process • Review and study of codes, standards, implementing documents, instructions, and other documents related to the QA program and program auditing • Participation in QA training programs. Management of the auditing organization shall document a proficiency evaluation of lead auditors annually. Based on the evaluation, management may choose to extend the qualification, require retraining, or require requalification.
Retraining	Retraining to regain proficiency shall be determined by the management of the auditing organization on a case-by-case basis. The retraining may include elements of the lead auditor classroom training or review of code, standards, implementing document, instructions, and other documents related to the QA program and program auditing. NSNFP procedures QAS 16.02, QAS 16.03, QAS 16.04, QAS 18.02, QAS 18.03, and QAS 18.04 are required reading for retraining purposes.
Requalification	Lead auditors who fail to maintain their proficiency for a period of 2 years or more shall require requalification. Requalification shall include retraining and reexamination in accordance with this attachment, and participation as an auditor in at least one nuclear QA audit. The QARD and NSNFP procedures QAS 16.02, QAS 16.03, QAS 16.04, QAS 18.02, QAS 18.03, and QAS 18.04 are required reading for requalification purposes. Individuals who continue to meet the NSNFP prerequisites for lead auditor automatically fulfill this requirement.

Attachment B
Requirements for Qualification of NSNFP Auditors

Post Secondary Education	A post secondary education is optional. Consideration for up to 2 years work experience can be given for 4 or more years of a post-secondary education in physical science, engineering, business management, or QA.
Work Experience	Two years nuclear QA industry experience engaged in the development, implementation, or verification of nuclear QA programs or aspects thereof.
Professional Competence	Consideration may be given for certifications of competency in engineering, science, or QA specialties issued and approved by a state agency or national professional or technical society.
Rights of Management	Not Applicable.
Past Assessment Participation	Two assessments (audits or surveillances) of a nuclear-related QA program as an auditor or technical specialist under the direct supervision of a lead auditor.
Lead Auditor Classroom Instruction	(Optional) Lead Auditor Classroom instruction, if given, shall be as stipulated for lead auditors in Attachment A of procedure QAS 18.04.
Examination	(Optional) A lead auditor exam, if given, shall be as stipulated for lead auditors in Attachment A of procedure QAS 18.04.
Other Training Courses	(Optional) Proficiency training courses to provide general and specialized training in audit performance may be used such as: • General training in the fundamentals, objectives, and techniques of performing audits • Specialized training in methods of examining, questioning, evaluating, and documenting specific audit items and methods of closing out conditions adverse to quality addressed by corrective action documents • Root Cause Analysis.
On-The-Job Training	On-the-job training consists of guidance and counseling under the direct supervision of a lead auditor. The training shall include planning, performing, reporting, and follow-up action involved in conducting audits. Documented assessment (audit or surveillance) specific briefings and actual assessment (audit or surveillance) performance under the supervision of a lead auditor represent this training. The lead auditor classroom training and successful passing of the lead auditor examination may be substituted for this portion of on-the-job training. The QARD and NSNFP procedures QAS 16.02, QAS 16.03, QAS 16.04, QAS 18.02, QAS 18.03, and QAS 18.04 are required reading for auditor qualification purposes.
Communication Skills Evaluation	Not Required.
Basis of Certification	The basis for certification is formed by evidence of work experience, evidence of participation in two nuclear-related QA program assessments (audit or surveillance) and evidence of completion of on-the-job training.
Maintenance of Proficiency	Not Required.

Attachment C
Basis for Selecting Technical Specialists

Post Secondary Education (Optional)	Technical Specialist (Scientific or Engineering) (Optional) Consideration for up to 2 years work experience can be given for 4 or more years of a post-secondary education in a science or engineering field relevant to the scope, complexity, or special nature of work being audited. Technical Specialist (Administrative Systems) (Optional) Consideration for up to 2 years work experience can be given for 4 or more years of a post-secondary education in physical science, engineering, business management, or QA.
Work Experience	Technical Specialist (Scientific or Engineering) Four years work experience in a science or engineering discipline relevant to the scope, complexity, or special nature of the work being audited. Technical Specialist (Administrative Systems) Two years engaged in administrative processes relevant to the scope, complexity, or special nature of the work being audited. Examples of administrative processes include Configuration Management, Document Control, Records Management, or Training Program activities subject to the controls of a nuclear-related QA Program.
Professional Competence	Consideration may be given for certifications of competency in engineering, science, or QA specialties issued and approved by a state agency or national professional or technical society.
Rights of Management	Not Applicable
Past Assessment Participation	Not Required
Lead Auditor Classroom	Not Required
Examination	Not Required
On-The Job Training	On-the job training consists of guidance and counseling under the direct supervision of a lead auditor. The training shall include planning, performing, reporting, and follow-up action involved in conducting audits. Documented assessment (audit or surveillance) specific briefings and actual assessment (audit or surveillance) performance under the supervision of a lead auditor represent this training. Completion of the lead auditor classroom training and successful passing of the lead auditor examination may be substituted for this portion of on-the-job training.
Other Training Courses	Not Required
Communication Skills Evaluation	Not Required
Maintenance of Proficiency	Not Required
Required Reading	QARD and NSNFP procedures QAS 16.02, QAS 16.03, QAS 16.04, QAS 18.02, QAS 18.03, and QAS 18.04