

NQA-1 Lead Auditor Qualification Requirements
[ASME NQA-1-2008]

<p>Part I, Requirement 2 303 Lead Auditor</p>	<p>The Lead Auditor organizes and directs audits, reports audit findings, and evaluates corrective action.</p>
<p>303.1 Communication Skills</p>	<p>The prospective Lead Auditor shall be capable of communicating effectively, both in writing and orally. These skills shall be attested to in writing by the Lead Auditor's employer.</p>
<p>303.2 Training</p>	<p>Prospective Lead Auditors shall receive training to the extent necessary to assure auditing competence including:</p> <ul style="list-style-type: none"> (a) knowledge and understanding of this Standard and other nuclear-related codes, standards, regulations, and regulatory guides as applicable (b) general structure of quality assurance programs as a whole and applicable elements as defined in this Standard (c) auditing techniques of examining, questioning, evaluating, and reporting; methods of identifying, and following up on corrective action items; and closing out audit findings (d) planning audits of activities affecting quality (e) on-the-job training to include applicable elements of the audit program
<p>303.3 Audit Participation</p>	<p>Prospective Lead Auditors shall participate in a minimum of five (5) quality assurance audits within a period of time not to exceed three (3) years prior to the date of qualification, one audit of which shall be a nuclear quality assurance audit within the year prior to qualification.</p> <p>Participation in independent assessments including team assessment activities such as operations readiness reviews and regulatory inspections / surveys may be used to satisfy up to four (4) of the five (5) required quality assurance audits, provided that the activities can demonstrate the following:</p> <ul style="list-style-type: none"> (a) independence from the functional areas being assessed (b) planning that establishes the scope of the activities and associated evaluation criteria (c) performance by technically qualified and experienced personnel (d) results that are documented and reported to management (e) appropriate corrective action initiated and tracked to resolution <p>Such participation shall be subject to review and acceptance by the organization responsible for quality assurance audits and / or the certifying authority prior to their use for qualification.</p>

<p>303.4 Examination</p>	<p>Prospective Lead Auditors shall pass an examination which shall evaluate comprehension of and ability to apply the body of knowledge identified above (303.2 Training).</p> <p>The examination may be oral, written, practical, or any combination thereof.</p>
<p>303.5 Maintenance of Proficiency</p>	<p>Lead Auditors shall maintain their proficiency through one or more of the following:</p> <ul style="list-style-type: none"> (a) regular and active participation in the audit process (b) review and study of codes, standards, procedures, instructions, and other documents related to quality assurance program and program auditing (c) participation in training program(s) <p>Based on annual assessment, management may extend the qualification, require retraining, or require requalification.</p>
<p>303.6 Requalification</p>	<p>Lead Auditors who fail to maintain their proficiency for a period of two (2) years or more shall require requalification.</p> <p>Requalification shall include retraining in accordance with the requirements of para. 303.2 of this Requirement, reexamination in accordance with para. 303.4 of this Requirement and participation as an Auditor in at least one nuclear quality assurance audit.</p>