

Management System: Quality Assurance and Oversight

Subject Area: Training and Qualification

Procedure: Qualification of Assessment Personnel

Issue Date and Revision Number: 01/26/15 1	Lead Subject Matter Expert: John Orrison	Management System Owner: John Sattler
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1.0 Applicability

This document applies to all Environmental Management Consolidated Business Center (EMCBC) and participating Small Sites Federal or support contractor personnel performing assessment activities.

2.0 Required Procedure

The purpose of this procedure is to establish responsibilities and processes for the indoctrination, training, and qualification of personnel who conduct Independent Assessments. Examples of subject areas for which this information relates are: Environment, Safety, and Health; Safeguards and Security; Cyber Security; Emergency Management; and Quality Assurance. Participating Small Sites or other requesting DOE Offices who are required to be qualified under a quality assurance program based on the American Society of Mechanical Engineers (ASME) NQA-1 standard may also adopt this procedure.

NQA-1 Lead Auditor

NQA-1 Lead Auditors are qualified per the NQA-1 standard (see NQA-1 Lead Auditor Qualification Requirements). This involves documenting experience, training, and education; obtaining evaluation of communication skills; passing an examination on the specified body of knowledge; and participation on the specified audits and assessments.

NQA-1 Lead Auditors organize and direct audits, report audit findings, and evaluate corrective action for quality assurance programs and activities that affect quality. NQA-1 Lead Auditors are required per the standard to maintain proficiency as lead auditors. This proficiency is documented through an annual management assessment.

Assessment Team Leader

Assessment Team Leaders are qualified per this procedure based on the applicable technical program (environment, safety and health; safeguards and security; cyber security; emergency

management; or quality assurance). This involves documenting experience, training and education; and participation on applicable assessments (see Assessment Team Leader Qualification Requirements).

The Assessment Team Leader organizes and directs assessments, reports assessment findings, and evaluates corrective action for the applicable technical programs and related activities.

Assessment Team Member

Assessment Team Members are participants in an assessment. Assessment Team Members shall have, or be given, appropriate training or orientation to develop their competence for participating in assessments (see Assessment Team Member Qualification Requirements).

QUALIFICATION OF NQA-1 LEAD AUDITORS	
Step 1	The EMCBC Office of Technical Support and Asset Management and participating Small Sites shall identify a Qualification Coordinator for their site.
Step 2	The Qualification Coordinator provides the prospective NQA-1 Lead Auditor with instructions for completing a NQA-1 Lead Auditor Qualification Record.
Step 3	The prospective NQA-1 Lead Auditor completes the NQA-1 Lead Auditor Qualification Record; including obtaining copies of applicable qualification documentation, and provides the form and documentation to the Qualification Coordinator.
Step 4	The Qualification Coordinator uses the completed form and documentation to verify that the prospective NQA-1 Lead Auditor meets the NQA-1 Lead Auditor Qualification Requirements.
Step 5	The Qualification Coordinator provides the completed form with a recommendation to the EMCBC Assistant Director or applicable Assessment Manager for concurrence and to the EMCBC Director or applicable Certification Authority for approval.
Step 6	The EMCBC Director or applicable Certification Authority certifies the NQA-1 Lead Auditor qualification by signing the NQA-1 Lead Auditor Qualification Record.
Step 7	The EMCBC Director or applicable Certification Authority forwards the signed NQA-1 Lead Auditor Qualification Record to the Qualification Coordinator to be maintained in accordance with the Quality Assurance and Oversight Procedures.
MAINTENANCE OF NQA-1 LEAD AUDITOR PROFICIENCY	
Step 8	The Qualification Coordinator, on an annual basis, provides NQA-1 Lead Auditors with a NQA-1 Lead Auditor Maintenance of Proficiency Record for completion.
Step 9	The NQA-1 Lead Auditors complete the NQA-1 Lead Auditor Maintenance of Proficiency Record and provide the form to the Qualification Coordinator.

Step 10	The Qualification Coordinator uses the completed form to verify that the NQA-1 Lead Auditor meets the NQA-1 Lead Auditor Qualification Requirements.
Step 11	The Qualification Coordinator provides the completed form with a recommendation to the EMCBC Assistant Director or applicable Assessment Manager for concurrence and to the EMCBC Director or applicable Certification Authority for approval.
Step 12	The EMCBC Director or applicable Certification Authority approves (or rejects and returns with comments) the NQA-1 Lead Auditor Maintenance of Proficiency by signing the form.
Step 13	The EMCBC Director or applicable Certification Authority forwards the signed form to the Qualification Coordinator to be maintained in accordance with the Quality Assurance and Oversight Procedures.
QUALIFICATION OF ASSESSMENT TEAM LEADERS	
Step 14	The Qualification Coordinator provides the prospective Assessment Team Leader with an Assessment Team Leader and Assessment Team Member Qualification Record for completion.
Step 15	The prospective Assessment Team Leader obtains copies of applicable qualification documentation, completes the Assessment Team Leader and Assessment Team Member Qualification Record, and provides this information to the Qualification Coordinator.
Step 16	The Qualification Coordinator verifies that the prospective Assessment Team Leader meets the Assessment Team Leader Qualification Requirements and provides the completed form to the EMCBC Assistant Director or applicable Assessment Manager.
Step 17	The EMCBC Assistant Director or applicable Assessment Manager reviews and approves (or rejects and returns with comments) the Assessment Team Leader qualification by signing the form.
Step 18	The EMCBC Assistant Director or applicable Assessment Manager forwards the signed form to the Qualification Coordinator to be maintained in accordance with the Quality Assurance and Oversight Procedures.
QUALIFICATION OF ASSESSMENT TEAM MEMBERS	
Step 19	The NQA-1 Lead Auditor or Assessment Team Leader provides the prospective Assessment Team Member with an Assessment Team Leader and Assessment Team Member Qualification Record for completion.
Step 20	The prospective Assessment Team Member obtains copies of applicable qualification documentation, completes the Assessment Team Leader and Assessment Team Member Qualification Record, and provides this information to the NQA-1 Lead Auditor or Assessment Team Leader.
Step 21	The NQA-1 Lead Auditor or Assessment Team Leader verifies that the prospective Assessment Team Member meets the Assessment Team Member Qualification Requirements and approves (or rejects and returns with comments)

	the Assessment Team Member qualification by signing the form.
Step 22	The NQA-1 Lead Auditor or Assessment Team Leader forwards the signed form to the Qualification Coordinator to be maintained in accordance with the Quality Assurance and Oversight Procedures.

3.0 References – Forms/Attachments/Exhibits

3.1 Forms

- FM-OTSAM-414D-01-F1, NQA-1 Lead Auditor Qualification Record
- FM-OTSAM-414D-01-F2, NQA-1 Lead Auditor Maintenance of Proficiency Record
- FM-OTSAM-414D-01-F3, Assessment Team Leader and Assessment Team Member Qualification Record

3.2 Attachments

- Attachment 1 - NQA-1 Lead Auditor Qualification Requirements
- Attachment 2 - Assessment Team Leader Qualification Requirements
- Attachment 3 - Assessment Team Member Qualification Requirements

3.3 References

- American Society of Mechanical Engineers (ASME) NQA-1-2008, Quality Assurance Requirements for Nuclear Facility Applications (with addenda through 2009)

4.0 Records Generated

Records generated through implementation of this procedure are identified as follows and are maintained by the Office of Technical Support and Asset Management (OTSAM) in accordance with the EMCBC Organizational File Plan:

Records Category Code	Records Title	Responsible Organization	QA Classification (Lifetime or Non-Permanent)
ADM 18.35.a	NQA-1 Lead Auditor Qualification Record	OTSAM	Non-Permanent
ADM 18.35.a	NQA-1 Lead Auditor Maintenance of Proficiency Record	OTSAM	Non-Permanent
ADM 18.35.a	Assessment Team Leader Qualification Record	OTSAM	N/A

ADM 18.35.a	Quality Assurance Assessment Team Member Qualification Record	OTSAM	Non-Permanent
ADM 18.35.a	Assessment Team Member Qualification Record	OTSAM	N/A

EMCBC RECORD OF REVISION**DOCUMENT TITLE: Qualification of Assessment Personnel**

If there are changes to the controlled document before the two-year review cycle, the revision number stays the same; one of the following will indicate the change:

I Placing a vertical black line in the left margin adjacent to sentence or paragraph that was revised; or

I Placing the words GENERAL REVISION at the beginning of the text. This statement is used when entire sections of the document are revised.

If changes and updates occur at the two-year review cycle, the revision number increases by one.

Rev. No.	Description of Changes	Revision on Pages	Date
0	Original		06/18/2012
1	Revise to new EMCBC MS Format and add minor edits.	All	01/26/2015