

NUCLEAR WASTE MANAGEMENT PROGRAM

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Subject:

APPENDIX F - "REQUIREMENTS FOR THE QUALIFICATION OF  
QUALITY ASSURANCE PROGRAM AUDIT PERSONNEL"

Approved: FEB 10 1989

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## 1.0 GENERAL

This Appendix provides requirements for the qualification of Lead Auditors. A Lead Auditor organizes and directs audits, reports audit findings, and evaluates corrective action. This Appendix also provides amplified requirements for the qualifications of individuals, henceforth referred to as Auditors, who participate in an audit, such as technical specialists, management representatives, and auditors-in-training.

## 1.1 QUALIFICATION OF AUDITORS

The LLNL-YMP establishes the audit personnel qualifications and the requirements for the use of technical specialists to accomplish the auditing of Quality Assurance programs. Personnel selected for Quality Assurance auditing assignments have experience or training commensurate with the scope, complexity, or special nature of the activities to be audited. Auditors either have or are given appropriate training or orientation to develop their competence to perform required audits. The competence of personnel to perform the various auditing functions is developed by one or more of the methods listed below.

## 1.1.1 ORIENTATION

Orientation to provide a working knowledge and understanding of this document and the auditing organization's procedures for implementing audits and reporting results.

## 1.1.2 TRAINING PROGRAMS

Training programs to provide general and specialized training in audit performance. General training includes fundamentals, objectives, characteristics, organization, performance, and results of quality auditing. Specialized training includes methods of examining, questioning, evaluating, and documenting specific audit items and methods of closing audit findings.

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### 1.1.3 ON-THE-JOB-TRAINING

On-the-job training, guidance, and counseling under the direct supervision of a Lead Auditor. Such training includes planning, performing, reporting, and follow-up action involved in conducting audits.

### 1.2. QUALIFICATION OF LEAD AUDITORS

An individual meets the requirements listed below before being designated a Lead Auditor.

#### 1.2.1 COMMUNICATIONS SKILLS

The prospective Lead Auditor has the capability to communicate effectively, both orally and in writing. These skills are attested to in writing by the Lead Auditor's employer.

#### 1.2.2 TRAINING

Prospective Lead Auditors have training to the extent necessary to assure their competence in auditing skills. Training in the following areas is given based upon management evaluation of the particular needs of each prospective Lead Auditor:

- o Knowledge and understanding of this document, 10 CFR Part 60, and other nuclear and/or DOE related codes, standards, regulations, and regulatory guides, as applicable to the LLNL-YMP.
- o General structure of Quality Assurance programs and applicable elements as defined in this document.
- o Auditing techniques of examining, questioning, evaluating, and reporting; methods of identifying and following up on corrective action items; and closing out audit findings.
- o Audit planning in the functions related to quality for the following activities: site characterization (scientific investigations), design, purchasing, fabrication, handling, shipping, storage, cleaning, erection, installation, inspection, testing, statistics, nondestructive examination, maintenance, repair, operation, modification of nuclear facilities or associated components, and safety aspects of the nuclear facility.
- o On-the-job training to include applicable elements of the audit program.

#### 1.2.3 AUDIT PARTICIPATION

The prospective Lead Auditor has participated in a minimum of five Quality Assurance audits within a period of time not to exceed three years prior to the date of qualification. One of the audits is a nuclear Quality Assurance audit made within the year prior to qualification.

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#### 1.2.4 EXAMINATION

The prospective Lead Auditor passes an examination that evaluates his comprehension of and ability to apply the body of knowledge identified in Paragraph 1.2.2 above. The test may be oral, written, practical, or any combination of the three types. If any portion of the examination is oral, written documentation of the oral examination questions/content is maintained. The development and administration of the examination is in accordance with Paragraph 1.4 of this section.

#### 1.3 MAINTENANCE OF QUALIFICATION

##### 1.3.1 MAINTENANCE OF PROFICIENCY

Lead Auditors maintain their proficiency through regular and active participation in the audit process; review and study of codes, standards, procedures, instructions, and other documents related to quality assurance program and program auditing; and participation in training programs. Based on annual assessment, management extends the qualification, requires retraining, or requires requalification. These evaluations are documented.

##### 1.3.2 REQUALIFICATION

Lead Auditors who fail to maintain their proficiency for a period of two years or more require requalification. Requalification includes retraining in accordance with the requirements of Paragraph 1.2.2 of this section, reexamination in accordance with Paragraph 1.4.2, and participation as an Auditor in at least one nuclear Quality Assurance audit.

#### 1.4 ADMINISTRATION

##### 1.4.1 ORGANIZATIONAL RESPONSIBILITY

Training of auditors is the responsibility of the LLNL-YMP. The responsible auditing organization selects and assigns personnel who are independent of any direct responsibility for the performance of the activities that they will audit. The Lead Auditor, prior to commencing the audit, concurs that assigned personnel collectively have experience or training commensurate with the scope, complexity, or special nature of the activities to be audited.

##### 1.4.2 QUALIFICATION EXAMINATION

The development and administration of the examination for a Lead Auditor required by Paragraph 1.2.4 is the responsibility of the LLNL-YMP. The employer may delegate this activity to an independent certifying agency, but retains responsibility for conformance to this document of the examination and its administration. Integrity of the examination is maintained by the LLNL-YMP or certifying agency through appropriate confidentiality of files and, where applicable, proctoring of examinations. Copies of the objective evidence regarding the type or types and content of the examination or examinations is retained by the LLNL-YMP.

### 1.5 CERTIFICATION OF QUALIFICATION

Each Lead Auditor is certified by the LLNL-YMP as being qualified to lead audits. As a minimum, this certification shall document the following:

- o Employer's name.
- o Lead Auditor's name.
- o Date of certification or recertification.
- o Basis of qualification (i.e., education, experience, communication skills, training, examination, etc.).
- o Signature of LLNL-YMP designated representative who is responsible for such certification.