YUCCA MOUNTAIN PROJECT OFFICE
DOCUMENT APPROVAL SHEET

Y-AD-002
4/90

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Title

QUALITY MANAGEMENT PROCEDURE QMP-02-02 QUALIFICATION OF QUALITY ASSURANCE PROGRAM AUDIT PERSONNEL

[X] Q
[ ] Non Q

APPROVAL

	Signature	Date
PROJECT MANAGER: Original signed by	M. E. Kunich	10/29/84
DIRECTOR OF QUALITY ASSURANCE:	John Rinaldi	11/19/84
QASC QA Mgr (OTHER, AS REQUIRED)	S. H. Klein	10/16/84

REVISION 0 EFFECTIVE DATE: 12/10/84

REVISIONS

	INITIAL AND DATE			
	REVISION 1	REVISION 2	REVISION 3	REVISION 4
PROJECT MANAGER:	Carl Gertz 2/19/88	WD for CPG 9/26/90		
DIRECTOR, QA:	James Blaylock 2/19/88	NL for DGH 9/21/90		
T&MSS Proj Mgr (OTHER, AS REQUIRED)	M. E. Spaeth 2/19/88	N/A		
EFFECTIVE DATE:	2/22/88	10/10/90		

DEPARTMENT OF ENERGY · UNITED STATES OF AMERICA

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1.0 PURPOSE AND SCOPE

1.1 PURPOSE

This procedure documents how the Yucca Mountain Project Office (Project Office) qualifies and certifies personnel who direct or participate in Project Office Quality Assurance (QA) audits.

1.2 SCOPE

The scope of this procedure covers the training requirements, education, employment, experience, and previous audit activities of candidates for the positions of Auditors-In-Training, Auditors, Lead Auditors, and Technical Specialists. It also covers the responsibilities of candidates for these positions and the Director, Office of Quality Assurance (OQA) responsibilities during the qualification and certification.

2.0 APPLICABILITY

This procedure is applicable to the Project Office QA staff and all individuals that participate as audit team members during Project Office QA audits.

3.0 DEFINITIONS

NOTE: Terms in this procedure are used as defined in the Office of Civilian Radioactive Waste Management (OCRWM) QA Requirements and Program Description Documents or the Program Glossary. The following additional definitions are adopted for the purposes of this procedure.

3.1 AUDITOR

Any individual qualified by this procedure to participate in a Project Office QA audit.

3.2 AUDITOR-IN-TRAINING (AIT)

A member of an audit team with either insufficient audit experience to conduct any auditing without close supervision or without previous Yucca Mountain Project (YMP) audit experience. Auditors-In-Training may not make judgments or identify deficiencies without concurrence of the Audit Team Leader or a supervising Lead Auditor.

3.3 LEAD AUDITOR (LA)

An individual whose qualifications are certified by the Director, OQA, in accordance with this procedure to organize, perform and direct a QA audit; report audit findings, and evaluate related corrective actions.

3.4 AUDIT TEAM LEADER (ATL)

A Certified Lead Auditor appointed to lead the audit team and to ensure the audit team is prepared prior to initiation of the audit.

3.5 TECHNICAL SPECIALIST

An individual with specific technical background assigned to provide advice to Auditors and/or Lead Auditors in the preparation or performance of a Project Office QA audit when it is determined that the scope, complexity and/or special nature of the audit warrants the need of technical advice. The specialists may perform as an Auditor of technical activities or may act only as an advisor as requested by the Lead Auditor.

4.0 RESPONSIBLE PARTIES

The following OCRWM individuals or designees are responsible for activities identified in Section 5.0 of this procedure:

1. Director, OQA
2. Audit Team Leader (ATL)

5.0 PROCEDURE

NOTE: A flowchart of the following processes described in this procedure is attached as Figure 1.

RESPONSIBLE PARTY	STEPS	PROCEDURE
		QUALIFICATION OF AUDITORS-IN-TRAINING
Director, OQA/Designee	1.	Document on the Employee Training Assignment Form the minimum reading and training requirements an Auditor must complete prior to performing on an Audit. Refer to Figure 4 of QMP-02-01 for form. Training requirements are on page 1 of Attachment 2.

RESPONSIBLE PARTY	STEPS	PROCEDURE
Director, OQA/Designee	2.	Assign the AIT to complete all required auditor reading and training under the guidance of the DOE Training Manager as specified in QMP-02-01.
Director, OQA/Designee	3.	When the Employee Training Assignment Form has been completed, establish an auditor qualification folder for each AIT and file the completed form.
ATL	4.	Assign the AIT to accompany a LA on a minimum of one audit to work under the direct supervision of a LA or ATL. The LA or ATL critiques the AIT's performance on Attachment 7, adds the audit information to Attachment 3 and files both attachments in the qualification folder.
Director, OQA/Designee	5.	If the AIT has demonstrated satisfactory performance, qualification as an Auditor is documented by completing Attachment 1, blocks 9, 10, and 12, and filing in a qualification folder.

QUALIFICATION OF AUDITORS

Director, OQA/Designee	6.	At the discretion of the Director, OQA, individuals judged to be adequately versed in the audit process may be exempted from the Auditor-In-Training requirement of being closely supervised by a Lead Auditor. The training specified in paragraph 5.1 above must be completed prior to being assigned as an Auditor and any statement of exemptions from AIT requirements and the rationale is filed in the individual's qualification folder. If an individual is judged qualified as an Auditor without performing first as an AIT, the individual is qualified on Attachment 1 the same in 5.5. above.

RESPONSIBLE PARTY	STEPS	PROCEDURE
Director, OQA/Designee	7.	Formal qualification for auditors is required. If the required training has been completed and demonstrated performance as an AIT, as applicable, has been completed, qualification as an Auditor is documented on Attachment 1 in blocks 9, 10, and 12 and placed in the auditor qualification folder along with Attachment 3.
Director, OQA/Designee	8.	Personnel from organizations outside the jurisdiction of the Director, OQA, inside or outside the Department of Energy, and contractors working for those organizations or the Yucca Mountain Project, may be assigned as Auditors at the discretion of the Director, OQA. These individuals must have had previous documented experience as Auditors within the past three years. In addition to audit documentation from the employer, the Director, OQA, must receive a copy of the auditor's resume and a statement that education and experience have been verified and on file at the employer's office. The Director, OQA, then signs Attachment 5 and files this documentation in a qualification folder. If a candidate's qualifications are rejected, no further effort is made at certification and the employer is notified of the rejection.
		QUALIFICATION OF LEAD AUDITORS
Director, OQA/Designee	9.	A Lead Auditor must have completed the training specified on the Employee Training Assignment Form. This form must be filed in the auditor qualification folder.
Director, OQA/Designee	10.	The qualification of LAs is documented on Attachment 1. The specific requirements to be met are documented on Attachment 2.

RESPONSIBLE PARTY	STEPS	PROCEDURE
Director, OQA/Designee	11.	Document the results of the examination given the LA candidate on Attachment 1, and retain the examination and the examination score as confidential documents.
Director, OQA/Designee	12.	The Director, OQA, may authorize certification of LAs from organizations outside his jurisdiction either inside or outside the Department of Energy and also contractors working for the Yucca Mountain Project or for those organizations. The Director, OQA, must receive a copy of the candidate's certification, documentation of audit participation within the past year, a copy of his resume, and a statement from the candidate's employer that education and employment have been verified and are on file at the employer's office. If the certification was made under a nuclear QA program overviewed by the Nuclear Regulatory Commission (NRC), the Director, OQA, accepts the certification by signing Attachment 5 and filing the documentation in the qualification folder. If a candidate's qualifications are rejected, no further effort is made for qualification and the individual's employer is notified of the rejection.
		QUALIFICATION OF TECHNICAL SPECIALISTS
Director, OQA/Designee	13.	If it is determined that an audit requires the use of a technical specialist, the Director, OQA, requests the appropriate management to assign a specialist of the proper discipline to assist on the audit.

RESPONSIBLE PARTY	STEPS	PROCEDURE
Director, OQA/Designee	14.	If the technical specialist does not have a valid Attachment 8 on file, the Director, OQA, will review the specialists's resume and training records and ensure that as a minimum Attachment 6 has been read and signed. A qualification folder containing the required documents on Figure 2 is set up and maintained as in Section 8 of this procedure.
		MAINTENANCE OF PROFICIENCY
Director, OQA/Designee	15.	Develop and maintain a status log of qualified Auditor and certified LAs that identifies, as a minimum: a. Auditor/Lead Auditor's name b. Date of initial certification or qualification c. Date of next evaluation
Director, OQA/Designee	16.	Perform an annual assessment of Auditors/ LAs to determine maintenance of their proficiency through one or more of the following: a. Regular and active participation in the audit process; b. Review and study of codes, standards, procedures, instructions, and other documents related to QA program and program auditing; and c. Participation in training programs.
Director, OQA/Designee	17.	Document the results from step 16 above on Attachments 3 and 4, identifying specific related information (i.e., audit number and date of participation). If

RESPONSIBLE PARTY	STEPS	PROCEDURE
		proficiency has been acceptably maintained, sign and date block 13 of Attachment 1. This extends the qualification or certification for a period of one year from the date of evaluation.
		RECERTIFICATION OF DOE LEAD AUDITORS
Director, OQA/Designee	18.	If a LA has not maintained proficiency for one year as stated in step 16 above, the Director, OQA, has the choice of extending the recertification for one year, or requiring requalification as in 19 below.
Director, OQA/Designee	19.	If the LA has not maintained proficiency for two years, requalification as stated below must be required. a. Receive training for Auditors as stated in Attachment 2; b. Take a re-examination in accordance with step 5.11; and c. Participate as an Auditor in at least one YMP Quality Assurance Audit.
		RECERTIFICATION OF ALL OTHER LEAD AUDITORS
Director, OQA/Designee	20.	LAs from other organizations or employers must be recertified to their QA Program requirements. Recertification documentation must be received from the employer by the Director, OQA, before he may recertify these individuals under the Project Office QA Program. The Director, OQA, fills out a new Attachment 5 for recertification of LAs.

VERIFICATION OF EMPLOYMENT AND EXPERIENCE

Director, OQA/Designee	21.	The various Human Resource organizations within OCRWM do verification of experience and education of all employees. A statement that experience and education has been verified shall be requested and filed in each Auditor, LA and Technical Specialists Qualification Folder.

6.0 REFERENCES

NOTE: Refer to the latest revision of the documents listed below unless otherwise stated.

6.1 REQUIREMENTS DOCUMENTS

Quality Assurance Requirements Document, DOE/RW-214

Quality Assurance Program Description Document, DOE/RW-215

QMP-02-01, Qualification, Proficiencies, Indoctrination, and Training of Yucca Mountain Project Office Personnel

QMP-17-01, Records Management: Record Source Implementation

7.0 FIGURES AND ATTACHMENTS

Figure 1, Qualification of Quality Assurance Program Audit Personnel Flowchart

Figure 2, QA Record Requirements

Attachment 1, Yucca Mountain Project Office Record of Auditor/Lead Auditor Qualification (N-QA-042)

Attachment 2, Auditor/Lead Auditor Qualification Requirements

Attachment 3, Record of Audit Participation (N-QA-039)

Attachment 4, Record of Lead Auditor Qualification Requirements

Attachment 5, Auditor/Lead Auditor Qualification Acceptance (N-QA-103)

Attachment 6, Audit Guide for Technical Specialists

Attachment 7, Auditor-In-Training Evaluation

Attachment 8, Technical Specialist Qualification

8.0 RECORDS

The Director, OQA, shall ensure that QA records are maintained as up-to-date Working Files in the Project QA Office and processed in accordance with QMP-17-01, Records Management: Record Source Implementation.

Refer to Figure 2 for Record Requirements for individual audit personnel.

FIGURE 1

QUALIFICATION OF QUALITY ASSURANCE PROGRAM AUDIT PERSONNEL FLOWCHART

QUALIFICATION OF AUDITORS/LEAD AUDITORS

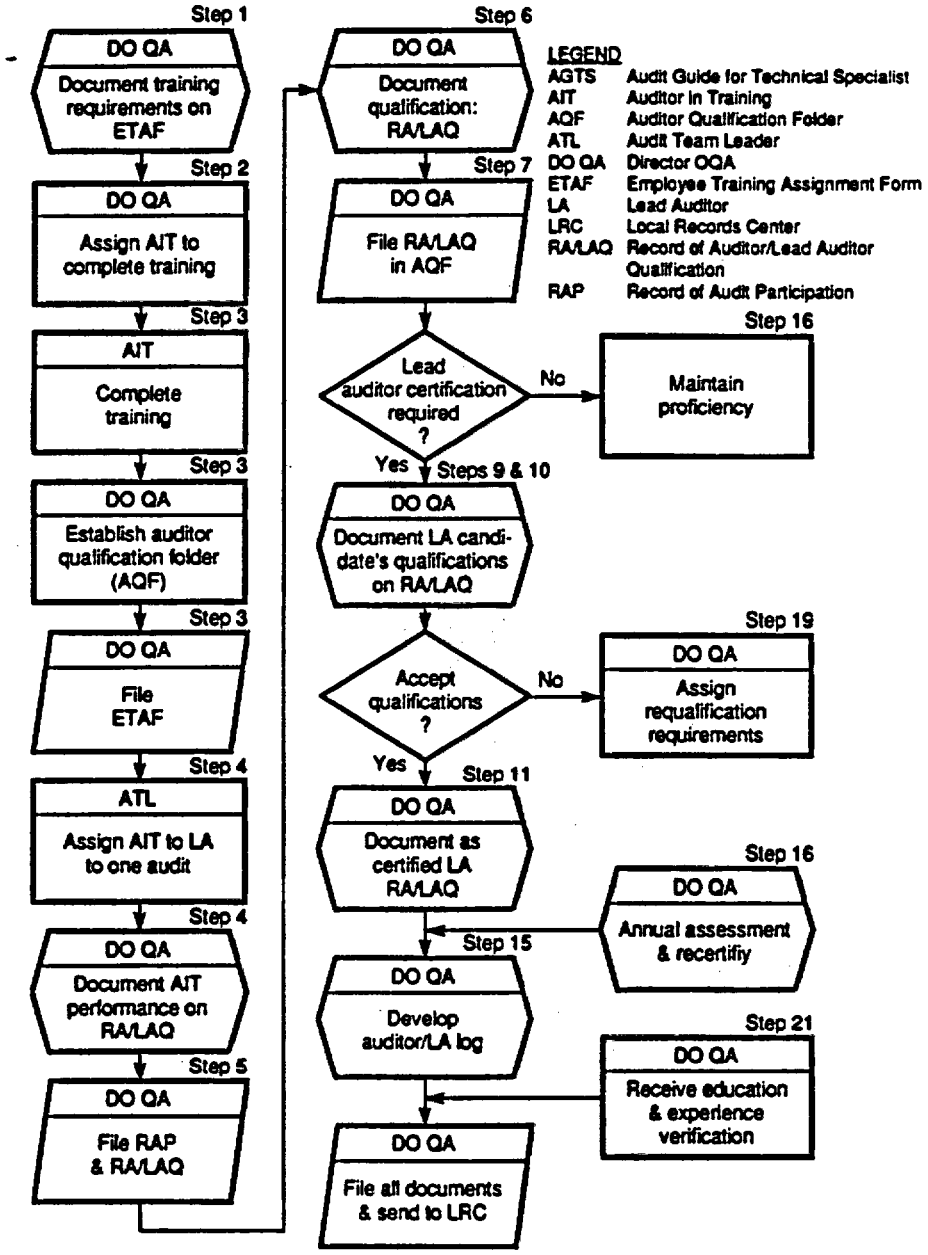

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FIGURE 1

QUALIFICATION OF QUALITY ASSURANCE PROGRAM AUDIT PERSONNEL FLOWCHART (Cont'd)

QUALIFICATION OF AUDITOR/LEAD AUDITOR FROM OUTSIDE ORGANIZATIONS

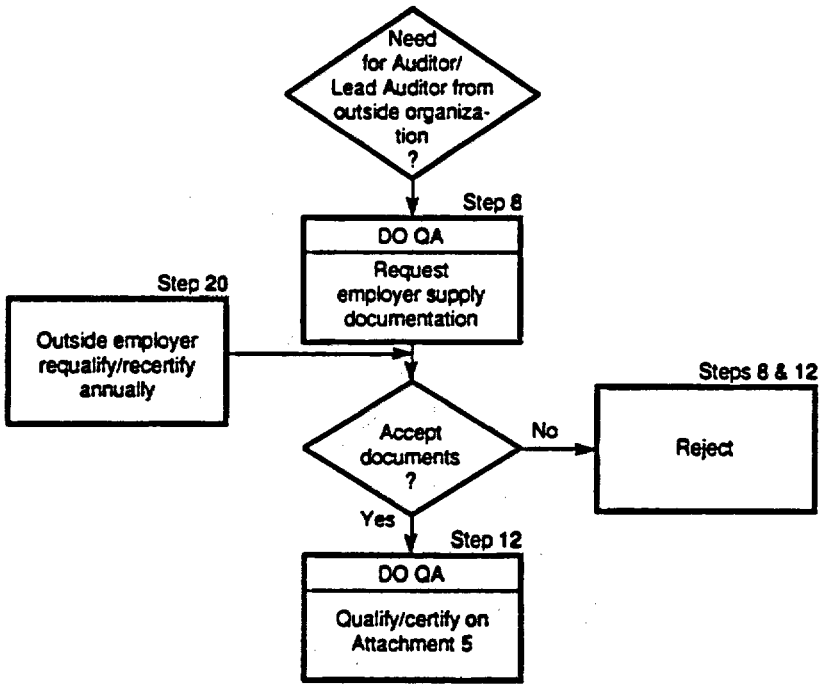

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FIGURE 1

QUALIFICATION OF QUALITY ASSURANCE PROGRAM AUDIT PERSONNEL FLOWCHART (Cont'd)

QUALIFICATION OF TECHNICAL SPECIALIST

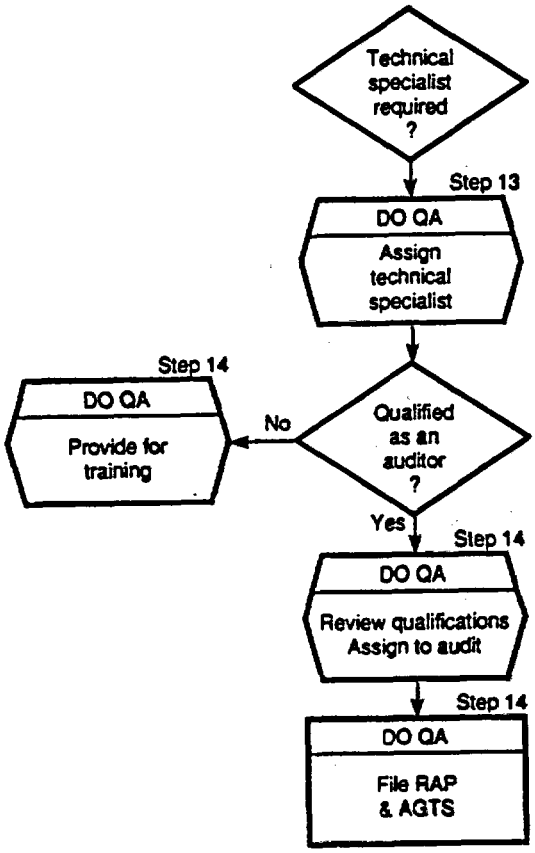

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FIGURE 1

QUALIFICATION OF QUALITY ASSURANCE PROGRAM AUDIT PERSONNEL FLOWCHART (Cont'd)

AUDITOR/LEAD AUDITOR PROFICIENCY MAINTENANCE

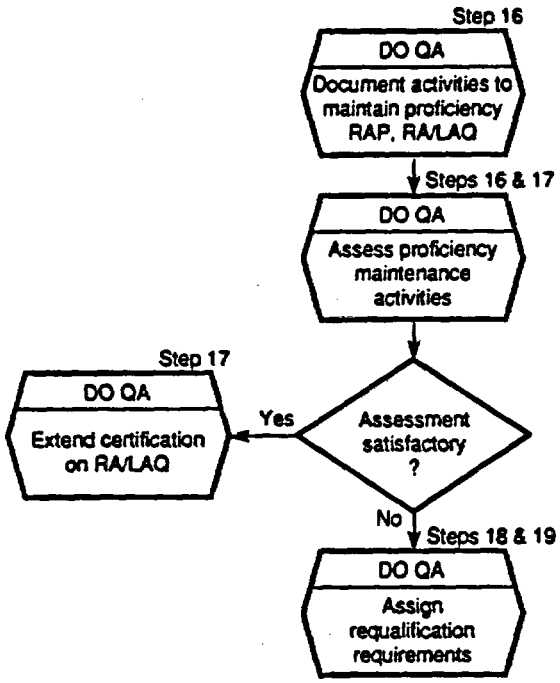

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FIGURE 2

QUALITY ASSURANCE RECORD REQUIREMENTS

	Employee Training Assignment Form N-AD-070	Auditor-In-Training Evaluation Attachment 7	Resume	Record of Audit Participation N-QA-039 (Attachment 3)	Records of Auditor/Lead Auditor Qualification N-QA-042 (Attach.1 & 4)	Verification of Education & Experience	Audit Guide for Technical Specialists (Attachment 6)	Auditor Qualification Acceptance N-QA-103 (Attachment 5)	Lead Auditor Certification from Employer	Technical Specialist Qualification (Attachment 8)
AUDITOR-IN-TRAINING	X	X	X	X						
AUDITOR	X	X*	X	X	X	X				
AUDITOR Qualification from Outside Source			X**	X**		X**		X		
LEAD AUDITOR	X	X*	X	X	X	X				
LEAD AUDITOR Qualification from Outside Source			X**	X**		X		X	X	
TECHNICAL SPECIALISTS			X	X*	X*	X	X			X

* If applicable
** From employer

ATTACHMENT 1

YUCCA MOUNTAIN PROJECT OFFICE
RECORD OF AUDITOR/LEAD AUDITOR QUALIFICATION

N-QA-042
8/90

1. Name: Date:

Employer:

QUALIFICATION CREDIT REQUIREMENTS		CREDITS
2. EDUCATION - University/Degree/Date • Undergraduate Level • Graduate Level	4 Credits Max.	
3. EXPERIENCE - Company/Dates • Technical (0-5 credits) and • Nuclear Industry (0-1 credit), or • Quality Assurance (0-2 credits), or • Auditing (0-4 credits)	9 Credits Max.	
4. PROFESSIONAL ACCOMPLISHMENT - Certificate/Date • Professional Engineer • Society	2 Credits Max.	
5. MANAGEMENT - Justification/Evaluator/Date Explain: Evaluated By (Name and Title) Date	2 Credits Max.	
6. CREDITS AWARDED	Total Credits	

7. AUDIT COMMUNICATION SKILLS
Evaluated By (Name and Title) Date

8. AUDITOR TRAINING COURSES
Course Title or Topic: 1. Date
2.

9. ON-THE-JOB TRAINING and/or ORIENTATION (Explain) Evaluated By (Signature and Date)

1. _____
2. _____
3. _____
4. _____
5. _____

10. AUDIT PARTICIPATION (See Attached)

11. EXAMINATION ☐ Passed Date of Examination _____
Administered By _____ Date _____
(Name and Title)

12. QUALIFICATION
☐ Auditor
Qualified By _____ Date _____
(Signature and Title)
☐ Lead Auditor
Certified By _____ Date _____
(Signature and Title)

13. ANNUAL EVALUATION (Signature and Date)

ATTACHMENT 2

AUDITOR/LEAD AUDITOR QUALIFICATION REQUIREMENTS

AUDITORS

Personnel who participate as DOE Auditors must have appropriate training and orientation to develop their competence for performing required QA audits.

Competence of personnel in regard to the performance of various auditing functions shall be developed by one or more of the following methods:

1. Orientation to provide a working knowledge of the Quality Assurance Requirements Document (DOE/RW-214), the Quality Assurance Program Description Document (DOE/RW-215), and Quality Management Procedures.

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

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

   Development, administration, and documentation of auditor training will be controlled by QAAP 2.XXX.

LEAD AUDITORS

Lead auditors must be certified as qualified by meeting the requirements below which are documented on Attachment 1.

Document the prospective Lead Auditor's qualification in Blocks 2 through 10 of Attachment 1.

EDUCATION (a maximum of four credits may be awarded). Document the name of the institution attended and the date and type of degree:

1. Award one credit for an associate degree from an accredited institution, or two credits if the degree is in engineering, physical sciences, mathematics, or quality assurance.

2. Award two credits for a bachelor's degree from an accredited institution, or three credits if the degree is in engineering, physical sciences, mathematics, or quality assurance.

3. Award one credit for a master's degree from an accredited institution if the degree is in engineering, physical sciences, business management, or quality assurance.

EXPERIENCE (maximum of nine credits may be awarded):

1. Award one credit for each full year of experience in engineering, manufacturing, construction, operation of maintenance with a maximum of five credits. Document the company, dates of employment and number of credits awarded each;

2. Award one additional credit if two years of the technical experience have been in the nuclear field; or

3. Award two additional credits if two years of the technical experience have been in quality assurance; or

ATTACHMENT 2

AUDITOR/LEAD AUDITOR QUALIFICATION REQUIREMENTS (continued)

EXPERIENCE (continued)

4. Award three additional credits if two years of the technical experience have been in auditing; or

5. Award three additional credits if two years of the technical experience have been in nuclear quality assurance; or

6. Award four additional credits if two years of experience have been in nuclear quality assurance auditing.

NOTE: Items "2" through "6" above are not additive. Only one of these items is to be used with item "1." The maximum number of nine credits can only be attained by awarding the maximum credits to 1 and 6.

PROFESSIONAL ACCOMPLISHMENTS (maximum of two credits may be awarded):

Award two credits for certification of competency in engineering, science, or quality assurance specialties issued and approved by a state agency or a national professional society. (One credit only for each agency or society.) Document License Number and expiration date. Membership in such societies as ASQC or ANS does not qualify for any credits. Certification by the society such as a certified quality assurance engineer is acceptable for one credit.

MANAGEMENT (maximum of two credits may be awarded):

Award up to two credits for other performance factors applicable to auditing which may not be explicitly delineated in this procedure. Justification for awarding the additional credits shall be documented on Attachment 1. Examples of performance factors are: leadership, maturity, sound judgment, tenacity, analytical ability, past performance, and QA training courses.

AUDIT COMMUNICATION SKILLS:

Evaluate and attest to the effectiveness of the prospective Lead Auditor's capability to communicate effectively both in writing and orally.

AUDITOR TRAINING COURSES:

Evaluate the training needs of each prospective Lead Auditor to the extent necessary to assure their competence in auditing skills. Document any course taken and attendance date to give the candidate the needed training. Training in the following areas shall be conducted in accordance with QMP-02-01 based upon the evaluation of the particular needs of each prospective Lead Auditor:

1. Knowledge and understanding of ANSI/ASME NQA-1 and other nuclear-related codes, standards, orders, regulations, and regulatory guides, as applicable.

2. General structure of quality programs as a whole and applicable elements as defined in ANSI/ASME NQA-1.

3. Auditing techniques of examining, questioning, evaluating, and reporting; methods of identifying and following up on corrective action items; and closing out audit findings.

ATTACHMENT 2

AUDITOR/LEAD AUDITOR QUALIFICATION REQUIREMENTS (continued)

AUDITOR TRAINING COURSES: (continued)

4. Audit planning in the function related to quality for the following activities: 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.

5. On-the-job training to include applicable elements of the audit program.

AUDIT PARTICIPATION

1. Ensure that the prospective Lead Auditor has participated in a minimum of five QA audits within a period of time not to exceed three years prior to the date of qualification. One of the audits shall be a nuclear quality assurance audit conducted within the year prior to certification.

2. When any audit report is issued, have a copy sent to the individual maintaining auditor qualification/ certification files. Ensure that the file of each team member is updated by entering the pertinent information on Attachment 3, YMPO Record of Participation.

EXAMINATION

1. Administer an examination that will evaluate a prospective Lead Auditor's comprehension of, and the ability to apply, the body of knowledge identified in F above. The test may be oral, written, practical, or any combination of the three types and shall be consistent with the requirements in ANSI/ASMe NQA-1. The examination and resulting score remain in the possession of the Director as confidential documents. The examination score is not to be entered on Attachment 1.

ATTACHMENT 3

YUCCA MOUNTAIN PROJECT OFFICE
RECORD OF AUDIT PARTICIPATION

N-QA-039
5/90

Audit No.	Date(s) of Audit	Audited Organization and Location	Function: Auditor or Audit Team Leader	Audit Report Number

ATTACHMENT 4

YUCCA MOUNTAIN PROJECT OFFICE
RECORD OF LEAD AUDITOR QUALIFICATION
CONTINUATION PAGE

N-QA-042
5/90

ATTACH TO RECORD OF QUALIFICATION ISSUED TO _____

ATTACHMENT 5

AUDITOR/LEAD AUDITOR QUALIFICATION ACCEPTANCE

N-QA-103
8/90

I have reviewed the qualifications of _____
(Individual)

of _____ and accept him/her as a
(Company/Organization)

Qualified Auditor ☐

Certified Lead Auditor ☐

This acceptance is limited to (select one)

Audit Number _____

or

_____ to _____
(Date) (Date)

_____ _____
(Director, QA) (Date)

ATTACHMENT 6

AUDIT GUIDE FOR TECHNICAL SPECIALIST

Technical Specialists Signature

Date of Completion

ATTACHMENT 6

AUDIT GUIDE FOR TECHNICAL SPECIALISTS (Cont'd)

I. Introduction

This document is written on the basis of the current requirements of the QA Requirements Document, DOE/RW-0214 and the QA Program Description Document, DOE/RW-0215 that relate to QA audits, and QMP-18-01, Audit Systems for the Waste Management Project Office. These requirements apply to the preparation, performance, reporting, and follow-up of QA audits.

The purpose of this document is to provide sufficient basic information to Technical Specialists so that they can effectively advise audit team members and make optimum contributions to the QA audit. The established methods and requirements for QA audits are delineated in QMP-18-01.

QA audits are unique opportunities to gain in-depth understanding of non-technical activities which are not normally related to the Technical Specialist's work. The management systems, procedures, work controls, and other mechanisms which are included in the audit scope are frequently unfamiliar because of the pressure of day-to-day problems in one's own discipline. The QA audit experience provides an opportunity to participate in an orderly analysis of such systems. Therefore, time spent in preparation for participation in a QA audit can be worthwhile spent can significantly improve the overall value of the QA audit.

You are urged to take sufficient time prior to the first meeting of the audit team to become as familiar as possible with the information provided herein. If you have any questions about the audit process, talk to the Audit Team Leader (ATL) before the QA audit.

II The Audit Process

As an advisor to the audit team, you will be primarily concerned with the preparation and performance of the audit. You may also participate in writing the report as directed by the ATL. The Audit follow-up is the responsibility of the ATL.

The first audit function in which you may participate is the development of the audit plan. This plan will identify the audit scope, which activities are to be audited, the applicable documents to be audited against, the audit schedule, and the written checklists to be utilized by the Auditors.

One of the major activities in planning the audit will be a review of deficiencies or problems reported during previous audits or past experience with the audited organization. The past audit records and other related reports provide information pertaining to both past problems for which corrective action has been established and for open items which have not been closed out.

ATTACHMENT 6

AUDIT GUIDE FOR TECHNICAL SPECIALISTS (Cont'd)

The ATL will conduct a pre-audit team meeting to discuss details of the audit plan and establish individual responsibilities. A pre-audit conference will be conducted with the audit team and representatives of the audited organization in attendance to outline the audit scope, the audit plan, and other details of the audit. The pre-audit conference will also introduce the Auditors to the audited organization personnel with whom the Auditors will work. The proposed sequence of events for the audit will be reviewed, and tentative plans for the exit interview will be made.

During the conduct of the audit, it may be advantageous to split the audit team into several groups. The Technical Specialist of the audit team will be in a group which includes the ATL or another Auditor. This will assist the Technical Specialists in concentrating on his/her specialized areas.

The principal audit method is to verify compliance with the Quality Assurance Program and other stated requirements. Objective evidence may take the form of records such as, drawings, specifications, logs, data sheets, test results, or other documents which will assist the Auditor in drawing meaningful conclusions in regard to effective implementation of applicable requirements. The ATL should be kept fully aware of any needs for special information and should be advised if it is necessary to talk to people or examine outside the scope of the audit as originally planned.

Whenever deficiencies are identified or suspected during an audit, they should be pursued to the point of a thorough understanding. Whenever possible, the Auditors should determine the cause of such deficiencies and evaluate their effect on other work. When possible, it is good practice to determine the extent of corrective action required. However, it is not the function of the audit team to initiate the corrective action. The deficiency should be pointed out to the responsible members of the organization being audited. It is their function to take proper corrective action. The audit team should maintain cognizance of such corrective action since it will have a bearing on the exit interview and the audit report.

The purpose of the exit interview is to review the audit findings with responsible management of the audited organization. This is essential so that if there are any misunderstandings based on insufficient or incorrect information, they can be clarified. In addition, the exit interview gives the audited organization a good understanding of the overall findings so that appropriate corrective action can be initiated as expeditiously as possible - often even before the audit report is returned to the audited organization for formal acknowledgment.

ATTACHMENT 6

AUDIT GUIDE FOR TECHNICAL SPECIALIST (Cont'd)

After the QA audit has been completed, the audit team usually meets one or more times to develop the audit report. This report will be prepared in accordance with QMP-18-01 and be signed by the ATL. It will include a summary of the findings and a statement of effectiveness of the QA Program audited. Standard Deficiency Reports (SDRs), which identify deficiencies noted during the audit, will be issued prior to the audit report in accordance with QMP-16-03, Standard Deficiency Reporting System, and are attached to the audit report for information purposes. The audit report is to be issued by the audit team within 25 days of completion of the audit.

III. Personal Conduct

One subject of prime importance is the matter of personal conduct of the audit team members. Audits will have various degrees of personal involvement on the part of the Auditors and the members of the organization being audited.

Conflicts of opinion are frequently unavoidable; however, conflicts of personalities can almost always be avoided by a skillful Auditor. The point to constantly remember is that an audit evaluates the performance of others. To a varying degree, difference of opinion is almost always a factor in the Auditor-auditee relationship. Consequently, it is imperative that an Auditor be fully aware of the sensitivity of his/her position. The following guidelines are provided to minimize the impact of personal involvements in the audit process.

1. The audit or checklist should be used as a guide and should not restrict the audit investigation. Departure from the audit checklist should be discussed with the ATL.

2. Be objective and listen carefully to responses. Remember that the audited organization will normally understand its system better than you will.

3. Avoid personal accusations in audit-related conversations with the audited organizations.

4. Arguments with the audited organization should be avoided. If you feel you are correct, accurately document the finding. Next, summarize the audited organization's opinion and read it back for concurrence.

5. Tentatively classify each adverse finding at the time it is found in accordance with QMP-16-03. The reason(s) which prompted the classification should be carefully noted for future reference.

ATTACHMENT 6

AUDIT GUIDE FOR TECHNICAL SPECIALISTS (Cont'd)

6. Record names, titles, places, etc., of individuals you engage during the audit. Material which will be required to support findings should be reproduced, if possible, or its identity carefully recorded.

7. An adverse finding which is deemed severe enough to warrant immediate action should be brought to the attention of the ATL.

IV. Reference*

These references provide more detailed information relative to QA audits and should be consulted for answers to specific problems. The ATL can direct you to the reference which addresses your questions.

1. DOE/RW-0214, OCRWM Quality Assurance Program Requirements.
   DOE/RW-0215, OCRWM Quality Assurance Program Description Document

2. QMP-02-02, Qualification of QA Program Audit Personnel
   QMP-16-03, Standard Deficiency Reporting System
   QMP-18-01, Audit System for the WMPO

3. 10 CFR 60-Subpart G - Quality Assurance
   DOE 5700.6 - Quality Assurance
   NV 5700.6 - Quality Assurance
   DOE/RV-0005 - Mission Plan
   ASME NQA-1 - Quality Assurance Program Requirements for Nuclear Facilities

*Latest applicable revision.

ATTACHMENT 7

AUDITOR-IN-TRAINING EVALUATION

N-QA-116
8/90

_____ has performed as an Auditor-In-Training
(Individual's Name)

under my close supervision on Audit No._____ .

Performance Comments:

Signed: _____
(Certified Lead Auditor)

cc: Audit Team Leader
Director, QA
Auditor Qualification File

ATTACHMENT 8

TECHNICAL SPECIALIST QUALIFICATION

N-QA-117
9/90

I have reviewed the experience and qualifications of _____
(Individual)

and accept him/her as a qualified Technical Specialist. This qualification is valid for one year from the date of qualification.

_____ _____

Director, QA Date