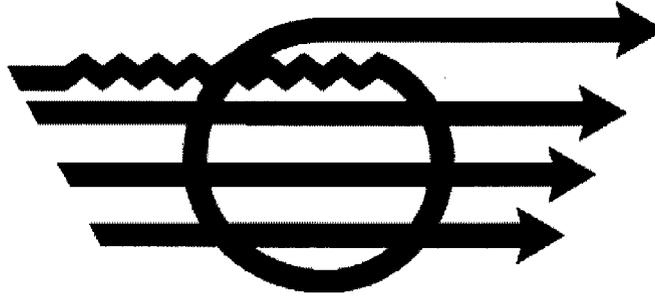


SUPPLIER QUALITY INFORMATION GROUP



SQIG ORGANIZATION

Title: **QUALIFICATION AND CERTIFICATION OF ASSESSMENT
PERSONNEL**

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Number: **SQIG-001**

Revision Number: **0**

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6/4/01

SQIG Chair

Date

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1.0 PURPOSE

1.1 The purpose of this procedure is to describe the requirements for the process of qualification and certification of personnel performing assessments/evaluations for SQIG.

2.0 SCOPE

2.1 The requirements of this procedure are applicable to all personnel performing supplier assessments/evaluations for SQIG.

3.0 RESPONSIBILITIES

3.1 The following entities have responsibilities in this procedure:

- **Certifying Officials**
- **Lead Assessors (LAs)**

4.0 PROCEDURE

4.1 GENERAL REQUIREMENTS

4.1.1 The **LA** shall identify the qualifications and experience required by technical specialists and assessors and selects them based on criteria needed to successfully conduct an assessment.

4.1.2 The **LA** shall define the scope of the assessment, identify any required reading, and provide training to the assessment team, as necessary.

4.2 ASSESSMENT TEAM MEMBERS

4.2.1 Assessment personnel, other than the **LA**, do not require formal training or certification. These include technical specialists and assessors. They are selected by the **LA** as necessary to provide technical/quality expertise to support the assessment scope.

4.3 LA QUALIFICATIONS AND CERTIFICATION

4.3.1 **LA** shall:

4.3.1.1 Participate in the formal training course developed by each DOE contractor's organization for **LAs**, and successfully complete an examination to demonstrate comprehension of the course materials with a minimum score of 75 percent, or present objective evidence of certification under a DOE-recognized Qualification and

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Certification Assessor Program. Such training shall meet the requirements of NQA-1 or acceptable equivalent.

NOTE: Each site is required to qualify their Lead Auditors; only SQIG will maintain a copy of the site-specific training, along with the required reading to support SQIG.

- 4.3.1.2 Complete the SQIG Required Reading List (see Appendix A [Typical]).
- 4.3.1.3 Demonstrate effective communication skills, both written and oral. These skills shall be attested to and recorded by the Certifying Official.
- 4.3.1.4 Have verifiable objective evidence that a minimum of 10 credits have been accumulated under the scoring system identified below.
- 4.3.1.4.1 Education (4 Credits Maximum)
- An associate degree from an accredited institution scores 1 credit. If the credit is in engineering, physical sciences, mathematics, or QA, it scores 2 credits.
 - A bachelor's degree from an accredited institution scores 2 credits. If the degree is in engineering, physical sciences, mathematics, or QA, it scores 3 credits. In addition, score one more credit for a master's degree (or higher) in engineering, physical sciences, business management, or QA from an accredited institution.
- 4.3.1.4.2 Workplace Experience (9 Credits Maximum)
- The prospective lead auditor shall have participated in a minimum of five QA audits or equivalent verifications (such as management assessments, pre-award surveys, or comprehensive surveillance, as long as the parameters of the audit process are met) within a period of time not to exceed three years prior to the date of qualification.
 - One audit of which shall be applicable to the DOE 414.1A/10 CFR 830.120 criteria within the year prior to qualification. In addition, for technical experience in such areas as scientific investigation, site characterization, nuclear waste management, production, transportation, engineering, manufacturing, construction, operation, maintenance, or experience applicable to the auditing organization's area of responsibility, score 1 credit for each full year, with a maximum of 5 credits for this aspect of experience.
 - a. If two years of this experience have been in a nuclear field, score 1 additional credit; or
 - b. If two years of this experience have been in QA, score 2 additional credits; or
 - c. If two years of this experience have been in auditing or assessment, score 3 additional credits; or
 - d. If two years of this experience have been in nuclear-related QA, score 3 additional credits; or

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- e. If two years of this experience have been in nuclear-related QA auditing or assessment, score 4 additional credits.

4.3.1.4.3 Professional Competency (2 Credits Maximum)

For certification in engineering, science, or QA specialties, issued and approved by a state agency or national professional or technical society, score 2 credits.

4.3.1.4.4 Rights of Management (2 Credits Maximum)

When determined appropriate, the Certifying Official may grant up to 2 credits for other performance factors applicable to auditing that are not explicitly called out, such as leadership, sound judgement, maturity, analytical ability, tenacity, past performance, and completed QA training course.

4.4 DOCUMENTATION OF QUALIFICATION OR CERTIFICATION

4.4.1 Qualification of assessors by the LA.

- 4.4.1.1 For technical specialists and assessors, the **LA** shall document their qualifications in the assessment file.

4.4.2 Certification of LA(s) by the Certifying Official.

- 4.4.2.1 Document the aforementioned requirements by completing the applicable Qualification Records, the SQIG Required Reading List and, if applicable, the Annual Recertification Evaluation (see Appendices A, B, and C).
- 4.4.2.2 Maintain the record copy of the Qualification Records and supporting documents in the Certifying Official's organizational files.
- 4.4.2.3 The certifying official shall issue a certificate documenting the completion of certification (see Appendix D).

4.5 MAINTENANCE OF CERTIFICATION FOR LA

- 4.5.1 **LAs** shall maintain their proficiency through one of the following: regular and active participation in the assessment process; the documented review and study of codes, standards, procedures, instructions, and other documents related to the assessment process; and participation in applicable training programs.

4.5.2 Prior to the annual evaluation due date, the **Certifying Official** shall review objective evidence of proficiency maintenance.

- 4.5.2.1 Based on an annual evaluation, the **Certifying Official** may recertify, require retraining, or require qualification. This evaluation shall be documented (see Appendix C).

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4.6 RECERTIFICATION

- 4.6.1 LAs who fail to maintain their proficiency shall require recertification at the discretion of the Certifying Official. Recertification shall include retraining in accordance with paragraph 4.3.1.1 of this procedure as applicable and successful participation as a LA in at least one assessment.

5.0 TRAINING

- 5.1 See Lead Assessor Training Program for each DOE contractors.

6.0 FORMS

- 6.1 Lead Assessor Statement of Qualification/Certification
6.2 Record of Assessment Participation

7.0 RECORDS MANAGEMENT

- 7.1 This procedure generates the following records:
Lead Assessor Statement of Qualification/Certification
Record of Assessment Participation

8.0 REFERENCES

- 8.1 U.S. DOE Order 0 414.1A, "Quality Assurance."
8.2 10 CFR 830.120, "Quality Assurance."
8.3 NQA-1-1994, "Quality Assurance Requirements for Nuclear Facility Applications"

9.0 DEFINITIONS

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- 9.1 **Assessment/Audit/Evaluation.** A documented activity performed in accordance with the written procedures or checklists to verify by investigation, examination, and evaluation of objective evidence, the adequacy of and compliance with established procedures, instructions, drawings, and other applicable documents; also, verify the effectiveness of implementation. This should not be confused with surveillance of inspection activities performed for the sole purpose of process control or product acceptance.
- 9.2 **Assessor.** Any individual in the organization who performs any portion of an assessment includes Lead Auditors, technical specialists, and others, such as management representatives and auditors in training.
- 9.3 **Certifying Official.** The individual in the SQIG organization responsible for certifying LAs.
- 9.4 **Independent Assessment.** An assessment performed by a qualified individual or team that is not affiliated with the organization directly performing the work.
- 9.5 **Lead Assessor (LA).** A person certified as a LA who is responsible for organizing, directing, and coordinating the conduct of an assessment; reporting findings and observations; issuing the assessment report; and evaluating the adequacy of responses.
- 9.6 **Relevant Workplace Experience.** Documented workplace experience that gives the practical knowledge of a field that is necessary to effectively assess systems in that field and that has been verified as part of employment screening.
- 9.7 **Technical Specialist.** An individual subject matter expert (SME), and/or technical representative who is assigned to support the assessment team to evaluate the technical accuracy and appropriateness of a particular area or function.

10.0 APPENDICES

- 10.1 Appendix A: Assessment Personnel Reading Requirements Table [Typical].
- 10.2 Appendix B: Statement of Qualification and Certification.
- 10.3 Appendix C: Summary of Assessment Participation.
- 10.4 Appendix C: SQIG Lead Auditor Certificate

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APPENDIX A

Assessment Personnel Reading Requirements Table [Typical]

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ASSESSMENT PERSONNEL REQUIRED READING LIST

Name: _____ Title: _____ Employee No: _____

Position _____

(circle one)

LA A

TS/SME

Initial/Date

*** MANDATORY**

1.

2.

3.

4.

5.

6.

7.

8.

9.

10.

11.

12.

13.

14.

* Additional required reading may be assigned by placing an X in the applicable column of page 1, and/or identifying additional documents on page 2 and placing an X in applicable column.

AALA: As assigned by the Lead Assessor

Verified by: _____

Date: _____

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APPENDIX B Statement of Qualification and Certification

RECORD OF LEAD AUDITOR QUALIFICATION	Name:	Date:	
EMPLOYER:			
QUALIFICATION POINT REQUIREMENTS		CREDITS	
Education - University/Degree Date		4 Credits Max.	
1. Undergraduate Level 2. Graduate Level		_____	
Experience - Company/Dates		9 Credits Max.	
Technical (0-5 credits) and Nuclear Industry (0-1 credit), or Quality Assurance (0-2 credits), or Auditing (0-4 credits)		_____	
Professional Accomplishment - Certificate/Date		2 Credits Max.	
1. P.E. 2. Society		_____	
Management – Justification/Evaluator/Date		2 Credits Max.	
Explain		_____	
Evaluated by: (Name and Title)		Date	
Total Credits: _____			
AUDIT COMMUNICATION SKILLS			
Evaluated by: (Name and Title)		_____	
Date		_____	
AUDIT TRAINING COURSES			
Course Title or Topic:		Date	
1.		_____	
2.		_____	
AUDIT PARTICIPATION			
	Location	Audit	Date
1			
2			
3			
4			
5			
EXAMINATION		PASSED	DATE:
AUDITOR QUALIFICATION CERTIFIED BY: (Signature and Title)		Date Certified	
ANNUAL EVALUATION			

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Verified by:

Date

APPENDIX D

SQIG Lead Auditor Certificate

SQIG LEAD AUDITOR CERTIFICATE

This document certifies that

Has successfully completed the
SQIG Lead Auditor Training

On

Certified by: