NUCLEAR INDUSTRY ASSESSMENT CORPORATION

NIAC Membership Application Checklists

Thank you for your interest in joining NIAC. To ensure the NIAC membership requirements are met, please review your processes for qualifying lead auditors and performing supplier audits/surveys to ensure the nuclear industry requirements and expectations from the attached NIAC checklists and guidance are met. Once verified, upload the documentation listed below.

☐ Completed *NIAC MEMBER QUALIFICATION AUDIT PROCEDURE REVIEW CHECKLIST* by New Member (1st Column – Procedure references; 2nd column for additional procedures and associated references, as applicable)

☐ Completed *NIAC MEMBER QUALIFICATION AUDIT – LEAD AUDITOR CERTIFICATION REVIEW CHECKLIST* by New Member (1st Column – Procedure references; 2nd Column – example Lead Auditor qualification record references)

☐ Procedure(s) from Your Company for performing supplier audits and surveys

☐ Procedure(s) from Your Company for qualifying Lead Auditors

☐ Lead Auditor supporting documentation

- ☐ Experience Credits - Resume of Lead Auditor
- ☐ Diploma for Educational Credits (if taken)
- ☐ Audit Log (to provide evidence of audit participation and support annual assessments)
- ☐ Proof of Nuclear Audit (e.g., Attendance sheet, audit report page one)
- ☐ Proof of 4 other audits (e.g., Attendance sheet, audit report page one)
- ☐ Professional Organizations – proof of membership (i.e. photocopy of Professional Engineer card, ASQ designation card)
- ☐ Management Justification – provide explanation / justification for the points taken
- ☐ Evidence of Written Exam, (can be first page)
  - ☐ Exam is marked, exam mark displayed
  - ☐ Exam signed by Company Authority
- ☐ Evidence of training ASME NQA-1 and ANSI N45.2.23 require prospective Lead Auditors to have training in the following:
  - Areas to the extent necessary to assure their competence in auditing skills:
  - Knowledge and understanding of nuclear-related codes, standards, regulations, and regulatory guides, as applicable.
  - General structure of QA programs as a whole and applicable elements of a nuclear program (i.e., the 18-criteria from 10CFR50 Appendix B or 18-Requirements from ASME NQA-1)
  - Audits to qualify or maintain the qualification of Material Organizations in accordance with NCA- 3800 from the ASME Code must be performed by Lead Auditors with ASME Code experience.

☐ Evidence of annual assessments to ensure proficiency is maintained and extend qualification

NIAC MEMBER QUALIFICATION AUDIT - PROCEDURE REVIEW CHECKLIST

1	NIAC member company name (See Notes)		
2	Audit Procedure Number		
3	Procedure Revision Number		
4	Procedure Revision Date		
5	Does the procedure adequately specify the requirements for each of the following? (Identify the paragraph number)		
6	Use of Certified Quality Lead Auditors?		
7	Selection of the Audit Team Members?		
8	Use of a Lead Auditor as Team Leader?		
9	Preparation of an Audit Plan?		
10	Selection or Preparation of an Audit Checklist?		
11	Conducting a Pre-Audit Conference?		
12	Informing supplier during the audit of problems or issues?		
13	Conducting a Post-Audit Conference?		
14	Preparation and Issuance of an Audit Report?		
15	Follow-up with Supplier when applicable?		
Lead Auditor Conclusion: Is the Audit Procedure Acceptable? Answer 'Yes' or 'No'. If 'No' explain in sufficient detail below.			

Is follow-up required: ☐ Yes ☐ No

Auditor: _____ Company _____ Date: _____

Follow-up Comments:

Is follow-up required: ☐ Yes ☐ No

Auditor: _____ Company _____ Date: _____

Notes:

1. The NIAC Member being audited completes questions 1 through 15 with paragraph references to the procedure and a 'Yes' (Y) or 'No' (N), as applicable. The remaining portion of the checklist shall be completed by the Auditor during the audit review.
2. The NIAC Member shall provide a copy of the Lead Auditor Procedure and/or other supporting documents for audit review.
3. The Auditor shall verify the accuracy of the responses to items 1 – 15, document the results, print their name and sign in the spaces provided.

NIAC MEMBER QUALIFICATION AUDIT - LEAD AUDITOR CERTIFICATION REVIEW CHECKLIST

1	NIAC member company name (See Notes) & NIAC Member # (Company name shall match Lead Auditor Cert)		
2	NIAC member Procedure number for Auditor Certification / Revision date		
3	Lead Auditor's name on certificate being reviewed	**Procedure References**	
4	Certification format is equivalent to NQA-1: Appendix 2A-3 criteria, or Part III Subpart 3.1 Appendix 2A-3		
5	Minimum of 10 credits is documented on auditor's certification		
6	Education documentation – acceptable?		
7	Experience documentation – acceptable?		
8	Professional accomplishment – documentation is acceptable?		
9	Management justification – acceptable?		
10	Communication skills – documentation acceptable?		
11	Audit training course – documentation acceptable?		
12	Audit Participation – (5 Audits) – acceptable (1 Nuclear)?		
13	If using previous employer for certification support – are the records acceptable?	N/A	
14	Documentation the individual passed a written examination that is authenticated by the NIAC member (See Note 4)		
15	Lead Auditor certified by (Title)		
16	Certification date	N/A	
17	Annual Evaluations present from above Certification Date, and state the Last annual evaluation date		
18	Maintenance of proficiency is based on annual assessment by management and is documented (See Note 5)		
19	Skilled in ASME NCA3800?		
Lead Auditor Conclusion: Is the Auditor's Certification acceptable? Answer 'Yes' or 'No'. If 'No' explain in sufficient detail below.			

Is follow-up required: ☐ Yes ☐ No

Auditor: _____ Company _____ Date: _____

Follow-up Comments:

Is follow-up required: ☐ Yes ☐ No

Auditor: _____ Company _____ Date: _____

Notes:

1. The NIAC Member being audited completes questions 1 through 19 with a 'Yes' (Y) or 'No' (N) or date as applicable. The remaining portion of the checklist shall be completed by the Auditor during the audit review. The Auditor shall verify the accuracy of the responses to items 1 – 19, print their name and sign.
2. The NIAC Member shall provide a copy of the Lead Auditor Certifications and objective evidence supporting the certification for audit review.
3. Not all auditor certifications from a member company need to be reviewed. A representative sample is satisfactory.
4. The written exam content shall include "a comprehensive body of knowledge of Nuclear Industry Codes, STD's, Reg's, including ASME Section III & NQA-1, the general structure of QA Programs, auditing techniques through closure activities, and planning audits of activities affecting quality"
5. Provide evidence of activities considered in extending the qualification each year and evidence of requalification for lapses in proficiency of 2 years or more.

NUCLEAR INDUSTRY ASSESSMENT CORPORATION

November 17, 2017
Revision 0

Memorandum

To: NIAC members

From: NIAC Steering Committee

Subject: Member Qualification Audit – Guidance for Lead Auditor Qualification Records

Background and Purpose

Every three years a NIAC member qualification audit is performed to qualify/requalify all active NIAC members as suppliers of nuclear safety related auditing services for the NIAC membership. The audit is performed in accordance with the latest version of the NIAC Member Qualification Audit Procedure (NIAC 3.0). To support the audit, all active NIAC members are required to submit the following records for review by the audit team:

- Procedure(s) that define the process for performing supplier audits.
- Procedure(s) that define the process for qualifying/certifying Lead Auditors.
- A representative sample of Lead Auditor qualification records *(considered equivalent to certification records)* with a complete set of supporting documentation *(i.e., the records that justify the information shown on the qualification record, including evidence of a written exam).*

With over 170 NIAC members, this audit is a considerable task. Inconsistencies in record submittals and in satisfying the Lead Auditor qualification requirements have caused confusion and inefficiencies in completing the audit. More frequently than expected, audit teams have had difficulties confirming that the submitted Lead Auditor qualification records satisfy the applicable requirements.

The purpose of this memo is to provide guidance and establish consistent expectations for satisfying the Lead Auditor qualification requirements from ASME NQA-1 and ANSI N45.2.23. Members are expected to ensure their Lead Auditor qualification procedures and records are consistent with these expectations prior to submitting the procedures and records for review by the audit team. Members must also ensure that the Lead Auditor qualification record and supporting records for any Lead Auditor that performs NIAC member supplier audits *(including the Lead Auditor records that were not submitted for the member qualification audit)* are consistent with these expectations.

Lead Auditor Qualification Record

NIAC members should qualify Lead Auditors using a form that is consistent with Nonmandatory Appendix 2A-3 in ASME NQA-1-2008/2009 *(see attached form)*. While the use of this form is not a requirement, alternate methods of presenting the qualification record(s) make it more difficult to confirm that the requirements were met and result in unnecessary questions and concerns from external auditors.

Education and Experience

Lead Auditor qualification records must demonstrate that the Lead Auditor has an appropriate combination of education and experience using the point system described in ANSI N45.2.23-1978 and Nonmandatory Appendix 2A-3 in ASME NQA-1-2008/2009. A minimum of ten (10) total credits is required. The procedure(s) defining the process for qualifying Lead Auditors should award credits as listed in Table 1.

Table 1: Credits Awarded for Education and Experience

Category	Achievement	No. of Credits
Education *4-credits max.* *Note that the credits for an Associate's degree cannot be added to credits for a Bachelor's degree (i.e., award 1, 2, or 3 credits based on the highest achievement)*	Associate degree from an accredited institution, or	1
	If the Associate degree is in engineering, physical sciences, mathematics, or quality assurance, or	2
	Bachelor's degree from an accredited institution, or	2
	If the Bachelor's degree is in engineering, physical sciences, mathematics, or quality assurance	3
	Master's degree from an accredited institution in engineering, physical sciences, business management, or quality assurance	Add 1
Experience *9-credits max.* *Note that the additional credits awarded for experience in nuclear industry, QA or auditing cannot be added together (i.e., 5 max. plus 1, or 2, or, 3, or 4).*	Technical experience in engineering, manufacturing, construction, operation, or maintenance	1 per year (5 max.)
	2 years of experience in nuclear industry, or	Add 1
	2 years of experience in quality assurance, or	Add 2
	2 years of experience in auditing, or	Add 3
	2 years of experience in nuclear quality assurance, or	Add 3
	2 years of experience in nuclear quality assurance auditing	Add 4
Professional Competency	Certification of competency in engineering or quality assurance by state agency or national professional or technical society	2
Rights of Management	Other performance factors including leadership, sound judgment, maturity, analytical ability, tenacity, past performance, and quality assurance training courses.	Up to 2

The Lead Auditor qualification record should summarize the basis for each credit awarded. The following records must be provided to support the credits awarded in each category:

Education – Copies of the degree(s) considered in awarding the credits.

Experience – A resumé that describes the years of experience considered in awarding the credits.

Professional Competency – A copy of the certificate(s) considered in awarding the credits.

Rights of Management – A written explanation of the traits considered *(e.g., leadership, sound judgment, maturity, etc.)* in awarding the credits. The explanation must be provided on the Lead Auditor qualification record or in the supporting records. If QA training courses are considered in awarding the Rights of Management credits, evidence of course completion *(e.g., a training record or certificate)* must be provided.

Training

ASME NQA-1 and ANSI N45.2.23 require prospective Lead Auditors to have training in the following areas *to the extent necessary* to assure their competence in auditing skills:

- Knowledge and understanding of nuclear-related codes, standards, regulations, and regulatory guides, as applicable.
- General structure of QA programs as a whole and applicable elements of a nuclear program *(i.e., the 18-criteria from 10CFR50 Appendix B or 18-Requirements from ASME NQA-1).*
- Auditing techniques of examining, questioning, evaluating, and reporting; methods of identifying and following up on corrective action items; closing out audit findings.
- Planning audits of activities affecting quality.
- On-the-job training to include applicable elements of the audit program.

The Lead Auditor qualification record should summarize the activities credited as satisfying the training requirements. Supporting records *(e.g., a certificate of completion or other record of training signed by the instructor)* should identify the training organization/instructor, training topic(s), duration, and evidence of completion. Audit participation records may be used to provide evidence of on-the-job training.

The *"to the extent necessary"* aspect of this requirement is very important. Overall, the combination of experience, training, and audit participation must provide evidence that the Lead Auditor has the appropriate knowledge and skills needed to conduct quality *nuclear QA program* audits. A person with prior experience in nuclear QA programs and auditing techniques *(as described in their resumé)* may not need training that covers each of the training topics listed above. However, a person that only has experience in manufacturing under an ISO 9001 based program *(i.e., no experience in nuclear QA or auditing techniques)* should receive training that covers each of these training topics. A person with prior experience and training in auditing ISO 9001 based QA programs may not need additional training on audit planning or techniques but should be trained on nuclear codes and standards and gain experience through participation *(i.e., on-the-job training)* in *nuclear QA program* audits.

Audit Participation

ASME NQA-1 and ANSI N45.2.23 require a Lead Auditor to have participated in a minimum of five QA audits within a period of time not to exceed 3 years prior to the date of qualification. At least one of these audits is required to be a nuclear QA audit performed within one year prior to the date of qualification.

The Lead Auditor qualification record should list the audits that were credited as satisfying the audit participation requirements and clearly identify the audit(s) used to satisfy the requirement for at least one nuclear QA audit. Supporting records *(e.g., excerpts from audit reports and audit participation logs)* should identify the audit scope *(including nuclear or non-nuclear)*, audit date(s), and the role the person filled *(e.g., Auditor)* for each of the audits.

As stated above, each NIAC member is responsible for providing records of experience, training, and audit participation that collectively provide evidence that their Lead Auditors have the appropriate knowledge and skills *(consistent with the training topics listed above)* needed to conduct quality *nuclear QA program* audits. The audit participation records are expected to provide evidence of experience and training in auditing techniques and nuclear QA requirements. The following situations raise concerns that the Lead Auditor may not have an appropriate level of experience and training:

- The person only participated in one nuclear QA audit and has no other nuclear QA experience or training *(e.g., only ISO 9001 based experience and training)*.
- The five audits are performed within a short period of time, have overlapping dates, or are very limited in scope.
- The candidate was the Lead Auditor on one or more of the five audits *(i.e., not gaining experience and training by working under the direction of a qualified Lead Auditor)*.

In these instances *(or similar instances that could raise concerns)*, records should be provided to explain why this level of audit participation was deemed to be sufficient. For example, if the person received an abridged training and audit participation process because he/she was previously qualified as a nuclear QA auditor, the records should provide evidence of the previous qualification *(e.g., in a resumé or by providing copies of the previous Lead Auditor qualification record)*.

Evidence of Written Exam

By signing the NIAC bylaws, each member agrees to use written exams as the basis for qualifying Lead Auditors *(i.e., not oral or practical exams which are also permitted by ASME NQA-1 and ANSI N45.2.23)*.

The Lead Auditor qualification record should note that the candidate passed a written exam. Supporting records *(e.g., one or more pages from the exam or a certificate of completion)* should identify the organization that provided the exam, describe the scope of the exam *(i.e., Lead Auditor to nuclear QA requirements/codes/standards)*, provide evidence that the exam was written, provide evidence that the candidate passed the exam, and provide evidence that the exam was authenticated by the NIAC member *(i.e., the exam/certificate is signed or otherwise verified/controlled to ensure the integrity of the exam was maintained by the employer or certifying agency)*.

Evidence of ASME Code experience

Audits to qualify or maintain the qualification of Material Organizations in accordance with NCA-3800 from the ASME Code *(NIAC QA Code 'D' suppliers)* must be performed by Lead Auditors with ASME Code experience. Only a subset of NIAC members have Lead Auditors with the experience needed to perform these audits.

For NIAC members assigned to perform QA Code 'D' supplier audits, the Lead Auditor qualification record should indicate that the Lead Auditor has ASME Code experience. Supporting records *(e.g., resumé, training records, the written exam, and audit participation)* must provide evidence of experience and training on ASME Code requirements.

Maintenance of Proficiency / Requalification

ASME NQA-1 and ANSI N45.2.23 require management to perform and document annual assessments to ensure the Lead Auditor has maintained his/her auditing proficiency and thereby extend the Lead Auditor qualification for another year.

The Lead Auditor qualification record or supporting records must provide evidence of having completed an assessment each year since the date of qualification. Supporting records should provide evidence of the participation activities that were considered in extending the qualification each year.

Significant gaps in performing the assessment *(e.g., assessments performed a month or more late)* or in maintaining auditing proficiency *(e.g., no participation activities for over a year)* should be acknowledged and the basis for accepting the gap or extending the qualification explained.

Lead Auditors that fail to maintain their proficiency for a period of two or more years are required to be requalified by retraining, reexamination, and participation in at least one nuclear QA audit *(i.e., working under the direction of a Lead Auditor; not as a Lead Auditor).* The Lead Auditor qualification procedure(s) should define the requalification requirements. Records of requalification activities must be provided to address any auditing proficiency gap greater than two years.

Subcontracted Lead Auditors

Subcontracted Lead Auditors may be used to perform NIAC member audits provided the Lead Auditor is qualified under the QA Program of the NIAC member assigned to perform the audit. Two generally accepted methods of qualifying a Subcontractor are described below.

Subcontractors may be qualified by following the same process used to qualify employees. The NIAC member should complete the same Lead Auditor qualification record used for employees and follow the guidance described above. Note that the Subcontractor's existing Lead Auditor qualification records may need to be referenced on the Lead Auditor qualification record and included in the supporting records to provide sufficient evidence of experience and training.

A Subcontractor may also be qualified by documenting a review of the Subcontractor's existing Lead Auditor qualification records *(e.g., the qualification performed under the Subcontractor's QA program)* to confirm that the records satisfy the NIAC member's QA program requirements. This process must be described in the NIAC member's Lead Auditor qualification procedure(s). Persons authorized to complete the review should be identified *(e.g., the QA Manager)*. The completed process should provide a record *(e.g., a checklist)* of review and acceptance for each Lead Auditor qualification requirement *(e.g., education/experience, training, audit participation, and written exam)* and a statement certifying that the person is qualified as a Lead Auditor under the NIAC member's QA program.

Legacy Company Names

The Lead Auditor qualification records must provide evidence that the Lead Auditor is qualified under the NIAC member's QA program. However, some members have experienced one or more company name changes throughout their history. These members may have Lead Auditor qualification records that reflect a legacy company name. In these instances, the NIAC member should provide an explanation for this discrepancy that establishes the relationship between the current company name and the legacy company name.

Fig. 2A-3.1 Sample Form for Record of Lead Auditor Qualification

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.	_____
1. Technical (0–5 credits) and 2. Nuclear Industry (1 credit), or Quality Assurance (2 credits), or Auditing (3 credits)	Nuclear Quality Assurance (3 credits), or Nuclear Quality Assurance Auditing (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: 1. 2.	Date

AUDIT PARTICIPATION

	Location	Audit	Date
	1.		
	2.		
	3.		
	4.		
	5.		

EXAMINATION:	PASSED:	DATE:
QUALIFICATION CERTIFIED BY: (Signature and Title)		**Date Certified**

ANNUAL EVALUATION (Signature and Date)					