

**No.: Y15-904**

**Title: Qualification of Independent Assessment Personnel**

**Revision Date: 12/30/05**

**This procedure establishes the qualification requirements for BWXT Y-12, L.L.C. (BWXT Y-12) assessors, lead assessors, and Subject Matter Experts (SMEs) who are participating in independent assessments.**

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**BWXT Y-12, L.L.C.**  
**Management Requirements**

Number: Y15-904  
Rev. Date: 12/30/05  
Supersedes: 10/06/03  
Page: 1 of 29

BWXT Y-12  
Procedure

Subject: Qualification of Independent Assessment Personnel

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12/30/05  
Date

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Date

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2/16/06  
Effective Date

**Concurrence:**

This document has completed the management requirements process.

S. G. Brown /s/ 1/17/06  
Requirements Management

This document has been reviewed by an Authorized Derivative Classifier and UCNI Reviewing Official and has been determined to be UNCLASSIFIED and contains no UCNI.

This review does not constitute clearance for public release.

/s/ R. D. Sabin  
Signature

1/4/06  
Date

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**REVISION LOG**  
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<b>Revision Date</b>	<b>Description of Change</b>	<b>Pages Affected</b>
<b>12/30/05</b>	DM/R Number 05-QAO-03 Intent change. <ul style="list-style-type: none"> <li>• Transfer applicability of training and qualification requirements to readiness assessment personnel to Y15-190.</li> <li>• Allow other forms of participation in the assessment process to satisfy proficiency requirements to be more consistent with NQA-1.</li> <li>• Insert reference to Subcontract Technical Representatives for subcontracted assessors.</li> </ul>	4  6, 10-14, 20, 25, 26  12, 28
10/06/03	DM/R Number 03-PA-14 - On File	
06/04/03	DM/R Number 03-PA-13 – On File	

Subject: Qualification of Independent Assessment Personnel

**PURPOSE**

This procedure establishes the qualification requirements for BWXT Y-12, L.L.C. (BWXT Y-12) assessors, lead assessors, and Subject Matter Experts (SMEs) who are participating in independent assessments.

**APPLIES TO**

This procedure applies to all BWXT Y-12 divisions and personnel conducting independent assessments in accordance with Y15-903, *Independent Assessment*. Personnel performing readiness determinations conduct them in accordance with Y15-190INS, *Readiness Manual*. Training and qualification that is completed in accordance with this procedure or that meets the requirements specified in Y15-190, *Readiness Manual*, satisfy requirements to conduct readiness reviews or operational readiness reviews. Personnel performing internal audits conduct them in accordance with Y12-029, *Internal Audit*. The training and qualification requirements in this procedure do not apply to internal auditing personnel.

**OTHER DOCUMENTS NEEDED**

- Y90-027, *Conduct of Training Manual*
- Y15-903, *Independent Assessment*
- UCN-19546, *Training Exception*

**WHAT TO DO****A. Assessor Qualification Requirements****Quality Assurance Division Manager**

1. Designate an Assessor Qualification Authority (AQA) who is responsible for examining and approving the qualifications of assessment personnel.

**NOTE 1:** See Appendix A, *Qualification Process for Independent Assessors*.

**NOTE 2:** The AQA is available to meet individually with assessment personnel desiring an equivalency to discuss their qualifications and to review their equivalency documentation. See Appendix B, *Training and Participation Equivalency* for examples of training and participation equivalencies.

**Division Manager/Manager**

2. Assign personnel who need to be qualified as Assessor.

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**A. Assessor Qualification Requirements (cont.)**

- |   |   |
|---|---|
| <b>Division<br/>Training Manager/<br/>Coordinator</b>                   | <p>3. Assign Systems, Applications, and Products in Data Processing (SAP) Assessor Qualification 50028755 to the position.</p> <p>4. Assign SAP training Module 08275-CLA: <i>Independent Assessment Methods</i>, SAP Qualification 50024810 to the position.</p>   |
| <b>Assigned Personnel</b>   | <p>5. Complete training Module 08275-CLA: <i>Independent Assessment Methods</i>, SAP Qualification 50024810, or equivalent.</p> <p>6. Participate as a team member in at least two independent assessments, or equivalent, in the three-year period subsequent to the completion of 08275-CLA: <i>Independent Assessment Methods</i>.</p> <p>7. Submit the completed Appendix C, <i>Assessor Qualification Record</i> and supporting documentation to the BWXT Y-12 Assessor Qualification Authority (AQA).</p> <p>8. IF seeking an initial qualification equivalency based on prior assessment training, THEN follow the instructions in Appendix C, <i>Assessor Qualification Record</i>.</p> |
| <b>BWXT Y-12<br/>Assessor<br/>Qualification<br/>Authority<br/>(AQA)</b> | <p>9. Review the initial Assessor Qualification Record and attached evidence and sign the record, signifying qualification as Assessor.</p> <p>10. Notify the candidate of the status of Assessor qualification.</p>  |
| <b>Quality<br/>Assurance<br/>Training Coordinator</b>                   | <p>11. Enter Assessor Qualification 50028755 into SAP and transmit record to the Training Record Center for transfer to the employee's training file.</p>   |

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**B. Maintaining Assessor Qualification**

**NOTE:** See Appendix D, *Requalification Process for Independent Assessors*.

**Assessor**

1. Maintain proficiency through one or more of the following: regular and active participation in the assessment process which can be satisfied by participation as a team member in at least one independent assessment every 12 months; review and study of codes, standards, procedures, instructions, and other documents related to quality assurance program and program auditing; or participation in training program(s).
2. Complete Appendix E, *Annual Assessor Requalification Record*, attach supporting documentation, and submit requalification record to the AQA, between 11 and 12 months after initial qualification or last proficiency review.

**AQA**

3. Review the requalification record and supporting documentation and sign the record, signifying that proficiency has been maintained as Assessor.
4. Notify the candidate of the status of proficiency extension.

**Quality Assurance Training Coordinator**

5. Enter Assessor Qualification 50028765 into SAP and transmit record to the Training Record Center for transfer to the employee's training file.

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**C. Level I Lead Assessor Qualification Requirements**

**NOTE 1:** See Appendix A, *Qualification Process for Independent Assessors*.

**NOTE 2:** Level I Lead Assessor Qualification is required for leading independent assessments of operations and programs related to compliance with Price Anderson Amendment Act (PAAA) in nuclear and radiological facilities. Level I Lead Assessor is qualified to lead both Level I and Level II independent assessments.

**NOTE 3:** The SAP Qualification 50028756 for Lead Assessor is the equivalent SAP Qualification for Level I Lead Assessor. All positions that are current in SAP Qualification 50028756 for Lead Assessor are qualified as a Level I Lead Assessor to lead independent assessments of operations and programs related to compliance with PAAA in nuclear and radiological facilities.

**NOTE 4:** An employee is not required to become qualified as an Assessor before applying for qualification as a Lead Assessor.

**NOTE 5:** Qualification/requalification as a Lead Assessor also qualifies/requalifies an employee to act as an assessment team member.

**NOTE 6:** The AQA is available to meet individually with assessment personnel desiring an equivalency to discuss their qualifications and to review their equivalency documentation. See Appendix B, *Training and Participation Equivalency* for examples of training and participation equivalencies.

**Division Manager/  
Manager**

1. Assign personnel who need to be qualified as Level I Lead Assessor.

**Division  
Training Manager/  
Coordinator**

2. Assign SAP Level I Lead Assessor Qualification 50028756 to the position.



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**C. Level I Lead Assessor Qualification Requirements (cont.)**

- |   |  |
|---|--|
| <b>Division<br/>Training Manager/<br/>Coordinator</b> | 3. Assign SAP training Module 08275-CLA: <i>Independent Assessment Methods</i> , SAP Qualification 50024810 to the position.   |
| <b>Assigned Personnel</b>                             | 4. Complete training Module 08275-CLA: <i>Independent Assessment Methods</i> , SAP Qualification 50024810, or equivalent.  |
|   | 5. Participate in five independent assessments, or equivalent, in the three-year period subsequent to the completion of 08275-CLA: <i>Independent Assessment Methods</i> . At least two must have been in the capacity as the Lead Assessor under-instruction supervised by a qualified Level I Lead Assessor. |
|   | 6. Submit the completed Appendix F, <i>Level I Lead Assessor Qualification Record</i> , and supporting documentation to the BWXT Y-12 Assessor Qualification Authority.  |
|   | 7. IF seeking an initial qualification equivalency based on prior assessment training, THEN follow the instructions in Appendix F, <i>Level I Lead Assessor Qualification Record</i> .   |
|   | 8. Review the initial Lead Assessor Qualification Record and attached evidence and sign the record, signifying qualification as Level I Lead Assessor.   |
| <b>AQA</b>  | 9. Notify the candidate of the status of Lead Assessor qualification.  |
| <b>Quality<br/>Assurance<br/>Training Coordinator</b> | 10. Enter Level I Lead Assessor Qualification 50028756 and Level II Lead Assessor Qualification 50222617 into SAP and transmit record to the Training Record Center for transfer to the employee's training file.  |

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**D. Level II Lead Assessor Qualification Requirements**

**NOTE 1:** See Appendix A, *Qualification Process for Independent Assessors*.

**NOTE 2:** Level II Lead Assessor Qualification is required for leading all independent assessments not specifically identified as being assigned Level I requirements. A Level I Lead Assessor is qualified to lead both Level I and Level II independent assessments.

**NOTE 3:** The AQA is available to meet individually with assessment personnel desiring an equivalency to discuss their qualifications and to review their equivalency documentation. See Appendix B, *Training and Participation Equivalency* for examples of training and participation equivalencies.

**Division Manager/  
Manager**

1. Assign personnel who need to be qualified as Level II Lead Assessor.

**Division  
Training Manager/  
Coordinator**

2. Assign SAP Level II Lead Assessor Qualification 50222617 to the position.
3. Assign SAP training Module 08275-CLA: *Independent Assessment Methods*, SAP Qualification 50024810 to the position.

**Assigned Personnel**

4. Complete training Module 08275-CLA: *Independent Assessment Methods*, SAP Qualification 50024810, or equivalent.
5. Participate in two independent assessments, or equivalent, in the two-year period subsequent to the completion of 08275-CLA: *Independent Assessment Methods*. At least one must have been in the capacity as the Lead Assessor under-instruction supervised by a qualified Lead Assessor.
6. Submit the completed Appendix G, *Level II Lead Assessor Qualification Record*, and supporting documentation to the BWXT Y-12 Assessor Qualification Authority.

Subject: Qualification of Independent Assessment Personnel

**D. Level II Lead Assessor Qualification Requirements (cont.)**

- |   |   |
|---|---|
| <b>Assigned Personnel</b>                     | 7. IF seeking an initial qualification equivalency based on prior assessment training, THEN follow the instructions in Appendix G, <i>Level II Lead Assessor Qualification Record</i> . |
| <b>AQA</b>                                    | 8. Review the initial Lead Assessor Qualification Record and attached evidence and sign the record, signifying qualification as Level II Lead Assessor.                                 |
|   | 9. Notify the candidate of the status of Lead Assessor qualification.   |
| <b>Quality Assurance Training Coordinator</b> | 10. Enter Level II Lead Assessor Qualification 50222617 into SAP and transmit record to the Training Record Center for transfer to the employee's training file.                        |

**E. Maintaining Level I Lead Assessor Qualification**

**NOTE:** See Appendix D, *Requalification Process for Independent Assessors*.

- |                      |  |
|----------------------|--|
| <b>Lead Assessor</b> | 1. Maintain proficiency through one or more of the following: regular and active participation in the assessment process which can be satisfied by acting as a team leader in at least one independent assessment every 12 months; review and study of codes, standards, procedures, instructions, and other documents related to quality assurance program and program auditing; or participation in training program(s). Level I Lead Assessors who fail to maintain their proficiency for a period of two years or more require requalification. Requalification includes retraining and participation as a Level I Lead Assessor under instruction in at least one independent assessment. |
|                      | 2. Complete Appendix H, <i>Level I Annual Lead Assessor Requalification Record</i> , attach supporting documentation, and submit requalification record to the AQA, between 11 and 12 months after initial qualification or last proficiency review.   |
| <b>AQA</b>           | 3. Review the requalification record and supporting documentation and sign the record, verifying proficiency as Level I Lead Assessor.   |
|                      | 4. Notify the candidate of the status of Level I Lead Assessor proficiency.  |

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**E. Maintaining Level I Lead Assessor Qualification (cont.)****Quality Assurance Training Coordinator**

5. Enter Level I Lead Assessor Qualification 50028766 and Level II Lead Assessor Requalification 50222618 into SAP and transmit record to the Training Record Center for transfer to the employee's training file.

**F. Maintaining Level II Lead Assessor Qualification**

**NOTE:** See Appendix D, *Requalification Process for Independent Assessors*.

**Lead Assessor**

1. Maintain proficiency through one or more of the following: regular and active participation in the assessment process which can be satisfied by acting as a team leader in at least one independent assessment every 12 months; review and study of codes, standards, procedures, instructions, and other documents related to quality assurance program and program auditing; or participation in training program(s). Level II Lead Assessors who fail to maintain their proficiency for a period of two years or more require requalification. Requalification includes retraining and participation as a Level II Lead Assessor under instruction in at least one independent assessment.
2. Complete Appendix I, *Level II Annual Lead Assessor Requalification Record*, attach supporting documentation, and submit requalification record to the AQA, between 11 and 12 months after initial qualification or last proficiency review.

**AQA**

3. Review the requalification record and supporting documentation and sign the record, verifying proficiency as Level II Lead Assessor.
4. Notify the candidate of the status of Level II Lead Assessor proficiency determination.

**Quality Assurance Training Coordinator**

5. Enter Level II Lead Assessor requalification 50222618 into SAP and transmit record to the Training Record Center for transfer to the employee's training file.

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### **G. Subcontractor Qualification Requirements**

**NOTE 1:** Subcontractor qualification is required for each independent assessment performed.

**NOTE 2:** The AQA is available to consult with the Subcontract Technical Representative (STR) to review the qualifications of the subcontractor. See Appendix B, *Training and Participation Equivalency* for examples of training and participation equivalencies.

**NOTE 3:** Assessor, subcontractor, and subject matter expert qualification records are to be maintained on-site by the Lead Assessor. In cases where the Lead Assessor is a subcontractor or third party, the qualification records are to be maintained on site by the STR.

- Subcontract Technical Representative (STR)**
1. Identify subcontractors and non-BWXT Y-12 third parties who are qualified by education, training, and experience as Assessor, Lead Assessor or Subject Matter Expert for the scope and subject to be assessed.
  2. Ensure such subcontractors/third parties have training and experience equivalent to the requirements in this procedure.
  3. Document the education/experience of the subcontractor using Appendix J, *Subcontractor Qualification Record*.
  4. Maintain subcontractor qualification documentation on site until completion of the assessment.

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## H. Subject Matter Expert (SME) Qualification Requirements

**NOTE 1:** SME, whose expertise for a specific assessment is part of their current BWXT Y-12 job responsibility, are considered qualified when all baseline training and qualification requirements for their current position are met. (See Y90-027, *Conduct of Training Procedure*.)

**NOTE 2:** Assessor, subcontractor, and SME qualification records are to be maintained on-site by the Lead Assessor. In cases where the Lead Assessor is a subcontractor or third party, the qualification records are to be maintained on site by the hiring manager.

**Division Manager/  
Manager/  
Lead Assessor**

1. Identify SME personnel who are qualified by education, training, and experience as an SME for the scope and subject to be assessed.

**Lead Assessor**

2. Document the education/experience of the Subject Matter Expert, for subject matter expertise that is not part of an assessor's current BWXT Y-12 job responsibility, using Appendix K, *Subject Matter Expert Qualification Record*.

**Division Manager/  
Manager/ Lead  
Assessor**

3. Maintain SME documentation on site until completion of the assessment.

## RECORDS

**Plant Training  
Organization**

1. Maintain the following completed records on site according to established BWXT Y-12 records management practices and approved records inventory and disposition schedules.
  - Assessor Qualification Record with attached documentation
  - Annual Assessor Requalification Record with attached documentation
  - Level I Lead Assessor Qualification Record with attached documentation

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## RECORDS (cont.)

### Plant Training Organization

- Level II Lead Assessor Qualification Record with attached documentation
- Level I Annual Lead Assessor Requalification Record with attached documentation
- Level II Annual Lead Assessor Requalification Record with attached documentation
- UCN-19546, Training Exception Form

### Division Manager/ Manager/ Lead Assessor

2. Maintain the following completed records on site as directed by this procedure or approved records inventory or approved disposition schedules.
  - Subcontractor Qualification Records
  - Subject Matter Expert Qualification Records

## SOURCE DOCUMENTS

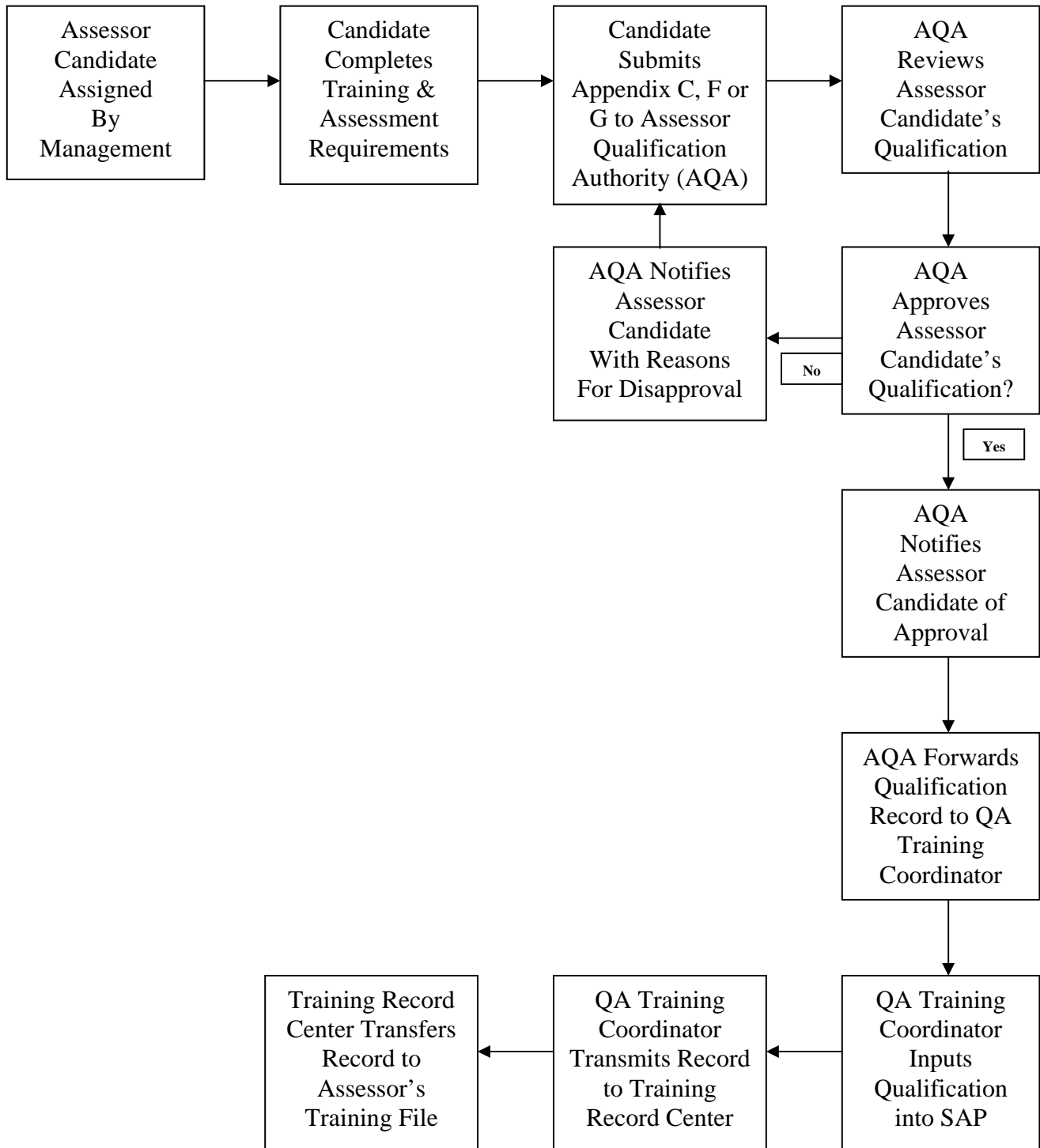
- 10 CFR 830.122(j)(3), *Criterion 10, Assessment/Independent Assessment*
- Standards/Requirements Identification Document (S/RID), Requirement Unit 9956, 11208

## APPENDICES

- A. Qualification Process for Independent Assessors
- B. Training and Participation Equivalency
- C. Assessor Qualification Record
- D. Verification of Proficiency Process for Independent Assessors
- E. Annual Assessor Requalification Record
- F. Level I Lead Assessor Qualification Record
- G. Level II Lead Assessor Qualification Record
- H. Level I Annual Lead Assessor Requalification Record
- I. Level II Annual Lead Assessor Requalification Record
- J. Subcontractor Qualification Record
- K. Subject Matter Expert Qualification Record

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**Appendix A**  
**Qualification Process for Independent Assessors**  
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**APPENDIX B**  
**Training and Participation Equivalency**  
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### **Training Equivalency Examples**

Independent assessment personnel who have not completed SAP Qualification 50024810 training Module 08275-CLA: *Independent Assessment Methods* can submit evidence and a description of training equivalency for evaluation by the Assessor Qualification Authority, along with the documented Training Exception Form. The following are some examples of approved training equivalencies:

- Successful completion of independent assessment-related training course outside of BWXT (e.g., International Standards Organization (ISO) Lead Auditor Training for Certification, Registrar Accreditation Board or other accredited Auditor course, certification by the American Society of Quality Control as a Qualified Quality Auditor).
- Successful completion of a Non-proliferation National Security Institute (NNSI) Survey course.
- Attended equivalent college classes (document and describe classes and content)
- Has equivalent military training (document and describe training)
- Taught or developed a related course (document and describe course and content)

### **Participation Equivalency Examples**

Independent assessment personnel that have not participated in independent assessments scheduled in accordance with the requirements in Y15-903, *Independent Assessment* can submit evidence of participation in equivalent assessments for evaluation by the Assessor Qualification Authority. The following are some examples of approved assessment equivalencies:

- Accident/Incident Investigation
- Corporate Independent Assessment
- Management Self Assessment (MSA)
- Performance Self Assessment (PSA)
- Operational Readiness Review (ORR)
- Contractor Operational Readiness Review (CORR)
- Due Diligence Facility Condition Assessment
- Authorization Basis Assessment
- Nuclear Facility Operation Assessment
- Nuclear Criticality Safety Assessment
- Fire Hazard Analysis
- Fire Protection Engineering Assessment
- Gap Analysis Assessment

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**APPENDIX C**  
**Assessor Qualification Record**  
**(Page 1 of 2)**

Assessor Candidate:	Badge Number:
Date Submitted:	Charge Number:

**EXPERIENCE REQUIREMENT**

Check each box:

**W** Participated as a team member in at least two independent assessments, or equivalent, during the previous three years. List the assessments below and attach copies of the assessment report transmittal page and the signature page of the assessment report that lists the assessment team members.

1. \_\_\_\_\_
2. \_\_\_\_\_

**W** Completed BWXT Y-12 *Independent Assessment Methods* training course, or equivalent.

**Equivalent** \_\_\_\_\_  
 \_\_\_\_\_

The BWXT Y-12 AQA may approve other assessment training, experience, qualification and/or certification, which is equivalent. If seeking an initial qualification equivalency based on prior assessment training, also submit a UCN-19546, *Training Exception* form to the AQA for approval of equivalency.

AQA Notes: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

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**APPENDIX C**  
**Assessor Qualification Record**  
**(Page 2 of 2)**

**EDUCATION**

Check one:

- W** Four years technical or management experience in quality, environment, safety and health, engineering, manufacturing, construction, operations, security, maintenance, or equivalent work.
- W** Associate college degree and three years technical or management experience in quality environment, safety and health, engineering, manufacturing, construction, operations, security, maintenance, or equivalent work.
- W** Bachelor's, Master's or Doctorate college degree and two years technical or management experience in quality, environment, safety and health, engineering, manufacturing, construction, operations, security, maintenance, or equivalent work.

AQA Notes: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**DOCUMENTATION ATTACHED**

Submit one:

- W** Resume that includes evidence of Technical or Management Experience and Education
- W** Copy of Associate, Bachelor's, Master's or Doctorate Degree

AQA Notes: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Documentation reviewed and approved for qualification as a BWXT Y-12 Assessor.

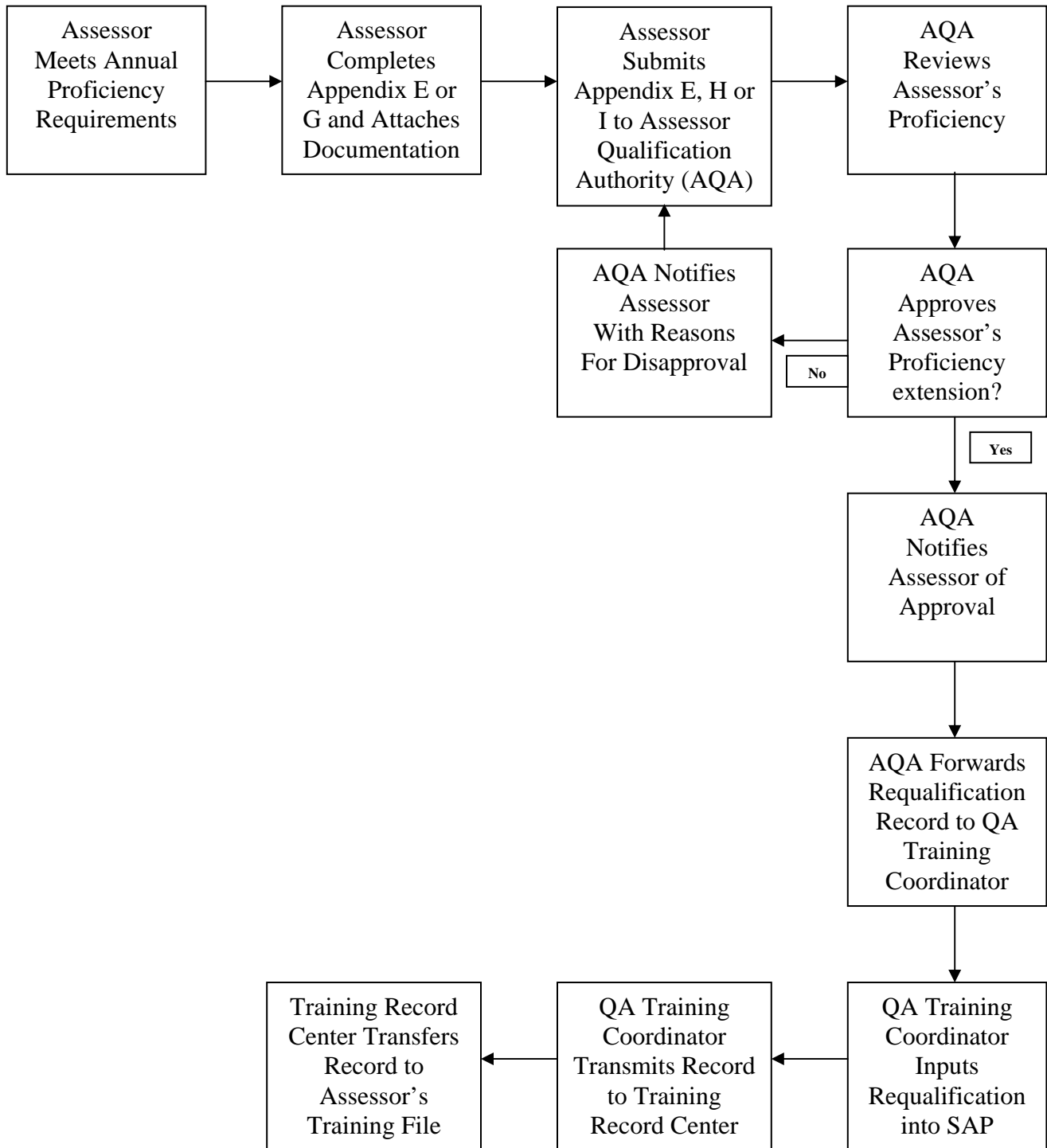
\_\_\_\_\_  
Assessor Qualification Authority

\_\_\_\_\_  
Badge Number

\_\_\_\_\_  
Date

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**Appendix D**  
**Verification of Proficiency Process for Independent Assessors**  
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**APPENDIX E**  
**Annual Assessor Requalification Record**  
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Assessor:	Badge Number:
Date Submitted:	

**ASSESSMENT PROFICIENCY MAINTENANCE**

Check box:

**W** Regular and active participation in the assessment process. May be satisfied by Participation as a team member in at least one independent assessment during the last 12 months.

**W** Review and study of codes, standards, procedures, instructions and other documents related to quality assurance program and program auditing.

**W** Participation in training program(s)

AQA Notes: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**DOCUMENTATION ATTACHED**

Submit:

Include documentation of completion of the above checked items. For assessments, this is a copy of the assessment report transmittal page/title page and the signature page of the assessment that lists the assessment team members.

AQA Notes: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Documentation reviewed and approved for requalification as a BWXT Y-12 Assessor.

\_\_\_\_\_  
 Assessor Qualification Authority

\_\_\_\_\_  
 Badge Number

\_\_\_\_\_  
 Date

Subject: Qualification of Independent Assessment Personnel

**APPENDIX F**  
**Level I Lead Assessor Qualification Record**  
**(Page 1 of 2)**

Lead Assessor Candidate:	Badge Number:
Date Submitted:	

**EXPERIENCE REQUIREMENT**

Check each box:

**W**Participated in at least five independent assessments, or equivalent, during the previous three years, at least two of which were in the capacity as the Lead Assessor under the instruction and supervision of a qualified Lead Assessor. List the assessments below and attach copies of the assessment report transmittal page and the signature page of the assessment report that lists the lead assessor.

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_
4. \_\_\_\_\_
5. \_\_\_\_\_

**W**Completed BWXT Y-12 *Independent Assessment Methods* training course, or equivalent.

**Equivalent** \_\_\_\_\_  
\_\_\_\_\_

The BWXT Y-12 AQA may approve other assessment training, experience, qualification and/or certification, which is equivalent. If seeking an initial qualification equivalency based on prior assessment training, also submit a UCN-19546, *Training Exception* form to the AQA for approval of equivalency.

AQA Notes: _____ _____ _____ _____ _____ _____
---

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**APPENDIX F**  
**Level I Lead Assessor Qualification Record**  
**(Page 2 of 2)**

**EDUCATION**

Check one:

- W** Four years technical or management experience in quality, environment, safety and health, engineering, manufacturing, construction, operations, security, Maintenance, or equivalent work.
- W** Associate college degree and three years technical or management experience in quality, environment, safety and health, engineering, manufacturing, construction, operations, security, maintenance, or equivalent work.
- W** Bachelor's, Master's or doctorate college degree and two years technical or management experience in quality, environment, safety and health, engineering, manufacturing, construction, operations, security, maintenance, or equivalent work.

AQA Notes: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**DOCUMENTATION ATTACHED**

Submit one:

- W** Resume that includes evidence of Technical or Management Experience and Education
- W** Copy of Associate, Bachelor's, Master's or Doctorate Degree

AQA Notes: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Documentation reviewed and approved for qualification as a  
BWXT Y-12 Level I Lead Assessor.

\_\_\_\_\_  
Assessor Qualification Authority

\_\_\_\_\_  
Badge Number

\_\_\_\_\_  
Date

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**APPENDIX G**  
**Level II Lead Assessor Qualification Record**  
**(Page 1 of 2)**

Lead Assessor Candidate:	Badge Number:
Date Submitted:	

**EXPERIENCE REQUIREMENT**

**W**Participated in at least two independent assessments, or equivalent, during the previous two years, at least one of which was in the capacity as the Lead Assessor under the instruction and supervision of a qualified Lead Assessor. List the assessments below and attach copies of the assessment report transmittal page and the signature page of the assessment report that lists the lead assessor.

1. \_\_\_\_\_
2. \_\_\_\_\_

**W**Completed BWXT Y-12 *Independent Assessment Methods* training course, or equivalent.

**Equivalent** \_\_\_\_\_

The BWXT Y-12 AQA may approve other assessment training, experience, qualification and/or certification, which is equivalent. If seeking an initial qualification equivalency based on prior assessment training, also submit a UCN-19546, *Training Exception* form to the AQA for approval of equivalency.

AQA Notes: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_



Subject: Qualification of Independent Assessment Personnel

**APPENDIX G  
Level II Lead Assessor Qualification Record  
(Page 2 of 2)**

**EDUCATION**

Check one:

- W** Four years technical or management experience in quality, environment, safety and health, engineering, manufacturing, construction, operations, security, maintenance, or equivalent work.
- W** Associate college degree and three years technical or management experience in quality, environment, safety and health, engineering, manufacturing, construction, operations, security, maintenance, or equivalent work.
- W** Bachelor's, Master's or Doctorate college degree and two years technical or management experience in quality, environment, safety and health, engineering, manufacturing, construction, operations, security, maintenance, or equivalent work.

AQA Notes: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**DOCUMENTATION ATTACHED**

Submit one:

- W** Resume that includes evidence of Technical or Management Experience and Education
- W** Copy of Associate, Bachelor's, Master's or Doctorate Degree

AQA Notes: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Documentation reviewed and approved for qualification as a  
BWXT Y-12 Level II Lead Assessor.

\_\_\_\_\_  
Assessor Qualification Authority

\_\_\_\_\_  
Badge Number

\_\_\_\_\_  
Date

**SAP Qualification 50222617**

Subject: Qualification of Independent Assessment Personnel

**APPENDIX H**  
**Level I Annual Lead Assessor Requalification Record**  
**(Page 1 of 1)**

Lead Assessor:	Badge Number:
Date Submitted:	

**ASSESSMENT PROFICIENCY MAINTENANCE**

Check box(s):

**W** Regular and active participation in the assessment process. May be satisfied by Participation as a lead assessor in at least one independent assessment during the last 12 months.

**W** Review and study of codes, standards, procedures, instructions and other documents related to quality assurance program and program auditing.

**W** Participation in training program(s)

AQA Notes: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**DOCUMENTATION ATTACHED**

Submit:

Include documentation of completion of the above checked items. For assessments this is a copy of the assessment report transmittal page/title page and the signature page of the assessment that lists the assessment team members.

AQA Notes: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Documentation reviewed and approved for requalification as a  
 BWXT Y-12 Level I Lead Assessor.

\_\_\_\_\_  
 Assessor Qualification Authority

\_\_\_\_\_  
 Badge Number

\_\_\_\_\_  
 Date

Subject: Qualification of Independent Assessment Personnel

**APPENDIX I  
Level II Annual Lead Assessor Requalification Record  
(Page 1 of 1)**

Lead Assessor:	Badge Number:
Date Submitted:	

**ASSESSMENT PROFICIENCY MAINTENANCE**

Check box:

<p><b>W</b> Regular and active participation in the assessment process. May be satisfied by Participation as a lead assessor in at least one independent assessment during the last 12 months.</p> <p><b>W</b> Review and study of codes, standards, procedures, instructions and other documents related to quality assurance program and program auditing.</p> <p><b>W</b> Participation in training program(s)</p>
---

AQA Notes: _____
_____
_____
_____

**DOCUMENTATION ATTACHED**

Submit:

Include documentation of completion of the above checked items. For assessments, this includes a copy of the assessment report transmittal page/title page and the signature page of the assessment that lists the assessment team members.
---

AQA Notes: _____
_____
_____
_____

Documentation reviewed and approved for requalification as a  
BWXT Y-12 Level II Lead Assessor.

\_\_\_\_\_  
Assessor Qualification Authority

\_\_\_\_\_  
Badge Number

\_\_\_\_\_  
Date

**SAP Qualification 50222618**

Subject: Qualification of Independent Assessment Personnel
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**APPENDIX J**  
**Subcontractor Qualification Record**  
**(Page 1 of 2)**

Name:	Badge Number:
Assessment Number:	Company:
Assessment Title:	Assessment Dates:

Sponsors of subcontractors and other non-government third parties that will be utilized as Level I or Level II Lead Assessors are to ensure such subcontractors/third parties have training and experience equivalent to the requirements in Y15-904, *Qualification of Independent Assessment Personnel*.

Level I Lead Assessor qualification is required for leading independent assessments of operations and programs related to compliance with PAAA in nuclear and radiological facilities. Level I Lead Assessor is qualified to lead both Level I and Level II independent assessments. Level II Lead Assessor qualification is required for leading all other independent assessments.

**LEAD ASSESSOR TRAINING & EXPERIENCE REQUIREMENT**

Check box:

<p><b>W</b>Completed BWXT Y-12 <i>Independent Assessment Methods</i> training course, or equivalent.</p> <p><b>W</b>Equivalent _____</p> <p>_____</p>
---

Check one:

<p><b>W</b>Level I Lead Assessor Equivalency – Participated in at least five independent assessments, or equivalent, during the previous three years, at least two of which were in the capacity as the Team Leader/Lead Assessor. List the assessments below and attach copies of the assessment report transmittal page and the signature page of each assessment report.</p> <p>1. _____</p> <p>2. _____</p> <p>3. _____</p> <p>4. _____</p> <p>5. _____</p>
---

Subject: Qualification of Independent Assessment Personnel
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**APPENDIX J**  
**Subcontractor Qualification Record**  
**(Page 2 of 2)**

**WLevel II Lead Assessor Equivalency** – Participated in at least two independent assessments, or equivalent, during the previous two years, at least one of which was in the capacity as the Team Leader/Lead Assessor. List the assessments below and attach copies of the assessment report transmittal page and the signature page of each assessment report.

1. \_\_\_\_\_
2. \_\_\_\_\_

**EDUCATION**

Check one:

**W** Four years technical or management experience in quality, environment, safety and health, engineering, manufacturing, construction, operations, security, maintenance, or equivalent work.

**W** Associate college degree and three years technical or management experience in quality, environment, safety and health, engineering, manufacturing, construction, operations, security, maintenance, or equivalent work.

**W** Bachelor's, Master's or Doctorate college degree and two years technical or management experience in quality, environment, safety and health, engineering, manufacturing, construction, operations, security, maintenance, or equivalent work.

**WORK EXPERIENCE SUMMARY**

Summarize work experience applicable to the functional area/program to be assessed or attach resume:

- 
- 
- 
- 

Documentation reviewed and approved for qualification as:

**W**Level I Lead Assessor

**W**Level II Lead Assessor

**W**Subject Matter Expert (SME)

\_\_\_\_\_  
 Signature of Subcontract Technical  
 Representative

\_\_\_\_\_  
 Badge Number

\_\_\_\_\_  
 Date

Subject: Qualification of Independent Assessment Personnel
--

**APPENDIX K**  
**Subject Matter Expert Qualification Record**  
**(Page 1 of 1)**

Name:	Badge Number:
Assessment Number:	Assessment Dates:
Assessment Title:	
Assessment Area(s) of Responsibility:	

**WORK EXPERIENCE SUMMARY**

Summarize work experience applicable to the functional area/program to be assessed or attach resume:

- 
- 
- 
- 
- 

**EDUCATION**

Check one:

**W**Four years technical or management experience in quality, environment, safety and health, engineering, manufacturing, construction, operations, security, maintenance, or equivalent work.

**W**Associate college degree and three years technical or management experience in quality, environment, safety and health, engineering, manufacturing, construction, operations, security, maintenance, or equivalent work.

**W**Bachelor's, Master's or Doctorate college degree and two years technical or management experience in quality, environment, safety and health, engineering, manufacturing, construction, operations, security, maintenance, or equivalent work.

Documentation reviewed and approved for qualification as Subject Matter Expert (SME).

\_\_\_\_\_  
Signature of Manager

\_\_\_\_\_  
Badge Number

\_\_\_\_\_  
Date