

TRAINING AND QUALIFICATION OF PERSONNEL

RWAP-04

1.0 PURPOSE

- 1.1 This instruction establishes the requirements and methodology for training, qualifying, and certifying Radioactive Waste Acceptance Program (RWAP) personnel to ensure that they have the necessary experience, skills, and knowledge to complete assigned tasks.

2.0 SCOPE

- 2.1 This instruction is applicable to National Nuclear Security Administration Nevada Field Office (NNSA/NFO) and support personnel assigned to work in RWAP. The procedure ensures personnel training requirements are defined and desired qualifications are achieved. Personnel completing required training are qualified to assess generator waste certification programs, review program documents, and perform waste verification activities to ensure compliance with the Nevada National Security Site Waste Acceptance Criteria (NNSWAC), latest revision.

3.0 RESPONSIBILITIES AND AUTHORITIES

- 3.1 The NNSA/NFO RWAP Manager (NM) has overall responsibility for development, maintenance, and implementation of this instruction.
- 3.2 The Contracting Organization (CO) RWAP Manager (RM) is responsible for training, qualification, and certification of RWAP personnel (i.e., Auditors-In-Training, Technical Specialists, Auditors, Lead Auditors, and Verification Representatives) based on the functional qualification and technical expertise needed to support the RWAP.
- 3.3 The following personnel have responsibilities as designated within the body of this instruction:
 - 3.3.1 NNSA/NFO RWAP Manager
 - 3.3.2 CO RWAP Manager
 - 3.3.3 CO RWAP Personnel
 - 3.3.4 Technical Specialist

4.0 DEFINITIONS

- 4.1 **Auditor** - Individual qualified, based on training, skill, and experience, to perform assessments in one or more of the following functional areas: Quality Assurance, Waste Traceability, and Waste Characterization.
- 4.2 **Auditor-In-Training** - Individual who participates in an RWAP facility evaluation under the guidance of a Lead Auditor for the purpose of gaining experience and satisfying training requirements.

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- 4.3 **Lead Auditor** - Qualified individual having necessary skills and experience to organize, conduct, and direct an audit activity.
- 4.4 **Qualification** - The characteristics or abilities gained through education, training, and/or experience, as measured against established requirements, such as recognized standards or tests used to qualify an individual to perform a specified function.
- 4.5 **Subject Matter Expert** - Individual possessing recognized certification and/or qualification and/or experience in a specified field, functional area, or task.
- 4.6 **Technical Specialist** - Individual, not assigned to RWAP, with special knowledge or technical expertise in a specific program or process requested to participate in an RWAP activity (i.e., facility evaluation, verification, etc.) on an as needed basis.
- 4.7 **Training** - Job-specific instruction designed to develop and/or improve an individual's knowledge and proficiency. Training may consist of mandatory required reading assignments, indoctrination, classroom training, seminars, and on-the-job training, which must be documented as evidence of completion.
- 4.8 **Verification Representative** - Individual qualified, based on training, skill, experience, and knowledge in performing physical and/or chemical verification of waste.

5.0 ABBREVIATIONS/ACRONYMS

5.1	FQ&TM	Functional Qualification & Training Matrix
5.2	NM	NNSA/NFO RWAP Manager
5.3	NNSSWAC	Nevada National Security Site Waste Acceptance Criteria
5.4	NNSA/NFO	National Nuclear Security Administration Nevada Field Office
5.5	OJT	On-the-Job-Training
5.6	RM	Contracting Organization RWAP Manager
5.7	RWAP	Radioactive Waste Acceptance Program
5.8	SME	Subject Matter Expert
5.9	TQR	Training & Qualification Record

6.0 PROCEDURE - Refer to the process flow diagram (Exhibit 1) for a graphic representation of the training and qualification process.

6.1 Training Fundamentals / Personnel Selection

- 6.1.1 RWAP NM will ensure the Functional Qualification and Training Matrix (FQ&TM), (Exhibit 2) is current, identifies functional positions within RWAP, and minimum

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training requirements for each position.

6.1.2 RWAP support personnel are typically contractor employees assigned to support the NNSA/NFO RWAP program. Initial hiring / training is in accordance with contractor programs and minimum qualification requirements for the hired position. When a unique skill, expertise, or additional training is required for a specific RWAP task / activity (i.e., auditor, visual and/or chemical verification representative), minimum training requirements are identified and provided for the respective qualifications described within this procedure.

6.1.2.1 The RWAP RM will select personnel based on skills and expertise required which includes, but is not limited to any combination of the following: education, formal training/certifications, nationally recognized accreditation, work history, skills, ability to be qualified as an RWAP program auditor or experience in radioactive waste management.

6.2 Functional Qualification & Training

6.2.1 RM determines the functional qualification (e.g., quality, traceability, characterization) that best fits the employees' current qualification, knowledge, and experience. A "*Training and Qualification Record*" (TQR), Exhibit 3, identifying required training is provided to the trainee for completion.

6.2.1.1 Training methods may include a combination of lectures, formal classes, seminars, computer-based training, OJT, and required reading of applicable program documents.

6.2.2 The RM will provide an initial orientation of RWAP activities to new employees and complete the "*Employee Orientation*" form, Exhibit 4. The RM will assign a SME, qualified in the respective functional qualification, to assist the trainee in completing training specified in the applicable TQR.

6.3 Completing and Maintaining the TQR

6.3.1 The trainee will complete required reading of applicable RWAP program documents and complete the "*Required Reading Record*," Exhibit 5. The trainee will work under the guidance of the assigned SME to obtain necessary skills and knowledge to complete qualification. Qualification is achieved through interface with the SME, performing OJT (i.e., task-specific instruction, required reading of documents, completion of forms, etc.), and practice of applicable protocols and techniques described in RWAP program documents.

6.3.1.1 Upon satisfactory completion of the TQR, the trainee and SME will sign, date, and attach supporting documentation relevant to the functional

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qualification being obtained (e.g., resume, class attendance, certificates, national certifications, etc.)

- 6.3.1.2 If the SME determines additional training or experience is necessary, the SME will discuss this with the trainee and RM. Training will continue until the desired level of readiness for qualification is achieved.
 - 6.3.2 Upon completion of training specified in the TQR, the SME will discuss the trainees functional readiness with the RM.
 - 6.3.2.1 Upon satisfactorily completion of training, the trainee and SME will sign and date the TQR and present it to the RM. The NM and RM approve the qualification by signing and dating the TQR.
 - 6.3.3 RWAP personnel and Technical Specialists are responsible for maintaining their proficiency and appropriate training records to ensure they remain current with their respective functional training requirements. This includes, but is not limited to, scheduling of formal classes (on-site or off-site), OJT, Web Based Training (WBT), and required reading in accordance with training frequencies specified on the FQ&TM.
 - 6.3.4 Training and knowledge of RWAP program documents is obtained through completion of initial training requirements specified by the TQR. Once qualification is achieved, annual refresher training (i.e., required reading) to program documents is required to assist RWAP personnel in maintaining proficiency. RWAP personnel will document annual review of program documents by completing a current “*Required Reading Record*,” based on their TQR qualification date.
 - 6.3.5 The RM will maintain approved TQRs for RWAP personnel and Technical Specialist participating in the RWAP program. TQR files must contain required records and documentation to support the respective qualifications. TQR files are made available by the RM for annual update and biennial re-qualification as required.
- 6.4 Maintaining Qualification
- 6.4.1 Qualified RWAP personnel must receive a biennial evaluation by the NM/RM to ensure training requirements, job proficiency, and skills to ensure acceptable levels of performance have been maintained for their qualification.
 - 6.4.2 Biennial evaluations should be performed within two years of the NM/RM approval date on the TQR (\pm 90 days). Biennial evaluations will be documented on the *Biennial Evaluation / Qualification Record*, Exhibit 8, approved by the NM and RM. RWAP personnel are responsible for submitting a signed *Biennial Evaluation / Qualification Record*, and evidence of maintaining recurring training, as applicable,

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to the NM/RM for approval.

6.4.3 RWAP personnel who fail to maintain their proficiency per paragraph 6.4.1 will require re-qualification, which consist of completing a new TQR for the respective functional qualification. In some cases, a “training waiver” may be considered based on the individual’s previous qualification(s), technical proficiency, and continued participation in RWAP programs.

6.4.3.1 Training waivers must be documented on the *Biennial Evaluation / Qualification Record* and identify the training that is lacking, justification on why it can be waived, when the training will be scheduled / completed.

6.4.4 RWAP personnel qualified in one functional area may qualify in another functional area provided they satisfy the respective TQR requirements. Any additional qualification requirements must be satisfied before performing in that functional area.

6.4.5 RWAP personnel qualified as auditors in accordance with this instruction must participate in a minimum of four facility evaluations within a two-year period to maintain their qualification(s). Auditors qualified in two functional areas (i.e., quality assurance and traceability) must participate in a minimum of two facility evaluations within each functional qualification.

6.4.5.1 RWAP personnel will maintain an *RWAP Participation Log*, (Exhibit 6), as the record of participation in applicable RWAP activities (i.e., FEs, verification activities), which can be used as evidence of satisfying biennial qualification requirements.

6.4.5.2 Lead Auditors must satisfy Appendix A, Lead Auditor Certification Requirements,” and ensure a “*Record of Lead Auditor Certification*,” Exhibit 7, is completed and approved by the NM or RM.

6.5 Training Completion and Tracking

6.5.1 Official training records are completed and maintained by the NM/RM. RWAP personnel must provide copies of completed training records and dates to the RM for concurrence and tracking.

7.0 FORMS

7.1 Examples of most forms are attachments to the procedure. Actual forms are controlled by RWAP and blank copies are maintained electronically for use.

7.1.1 Multi-Function - Training & Qualification Record (TQR)

7.1.2 Technical Specialist - TQR

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- 7.1.3 RTR Verification Representative - TQR
- 7.1.4 Visual / Chemical Verification Representative - TQR
- 7.1.5 RWAP Employee Orientation
- 7.1.6 Required Reading Record
- 7.1.7 RWAP Participation Log
- 7.1.8 Record of Lead Auditor Certification
- 7.1.9 Biennial Evaluation / Qualification

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8.0 RECORDS MANAGEMENT

8.1 The RM will maintain the original TQR and supporting training records for all personnel assigned to RWAP.

8.2 The following records generated during the implementation of this instruction will be processed in accordance with RWAP-05, *Records Management*.

8.2.1 TQR and required attachments, as applicable

8.2.2 Required Reading Record

8.2.3 Biennial Evaluation / Qualification Record

9.0 REFERENCES

9.1 NNSSWAC, *Nevada National Security Site Waste Acceptance Criteria*

9.2 RWAP-P1, *Radioactive Waste Acceptance Program Implementation Plan*

9.3 MWDU WAP, *Mixed Waste Disposal Unit Waste Analysis Plan*

9.4 RWAP-05, *Records Management*

10.0 EXHIBITS

10.1 Exhibit 1 Training & Qualification Flow Diagram

10.2 Exhibit 2 Functional Qualification & Training Matrix

10.3 Exhibit 3 TQR (Example)

10.3a Exhibit 3a TQR – Technical Specialist (Example)

10.3b Exhibit 3b TQR – RTR Verification Representative (Example)

10.3c Exhibit 3c TQR – Visual and Chemical Verification Representative (Example)

10.4 Exhibit 4 Employee Orientation

10.5 Exhibit 5 RWAP Required Reading Record

10.6 Exhibit 6 RWAP Participation Log

10.7 Exhibit 7 Record of Lead Auditor Certification

10.8 Exhibit 8 Biennial Evaluation/Qualification Record

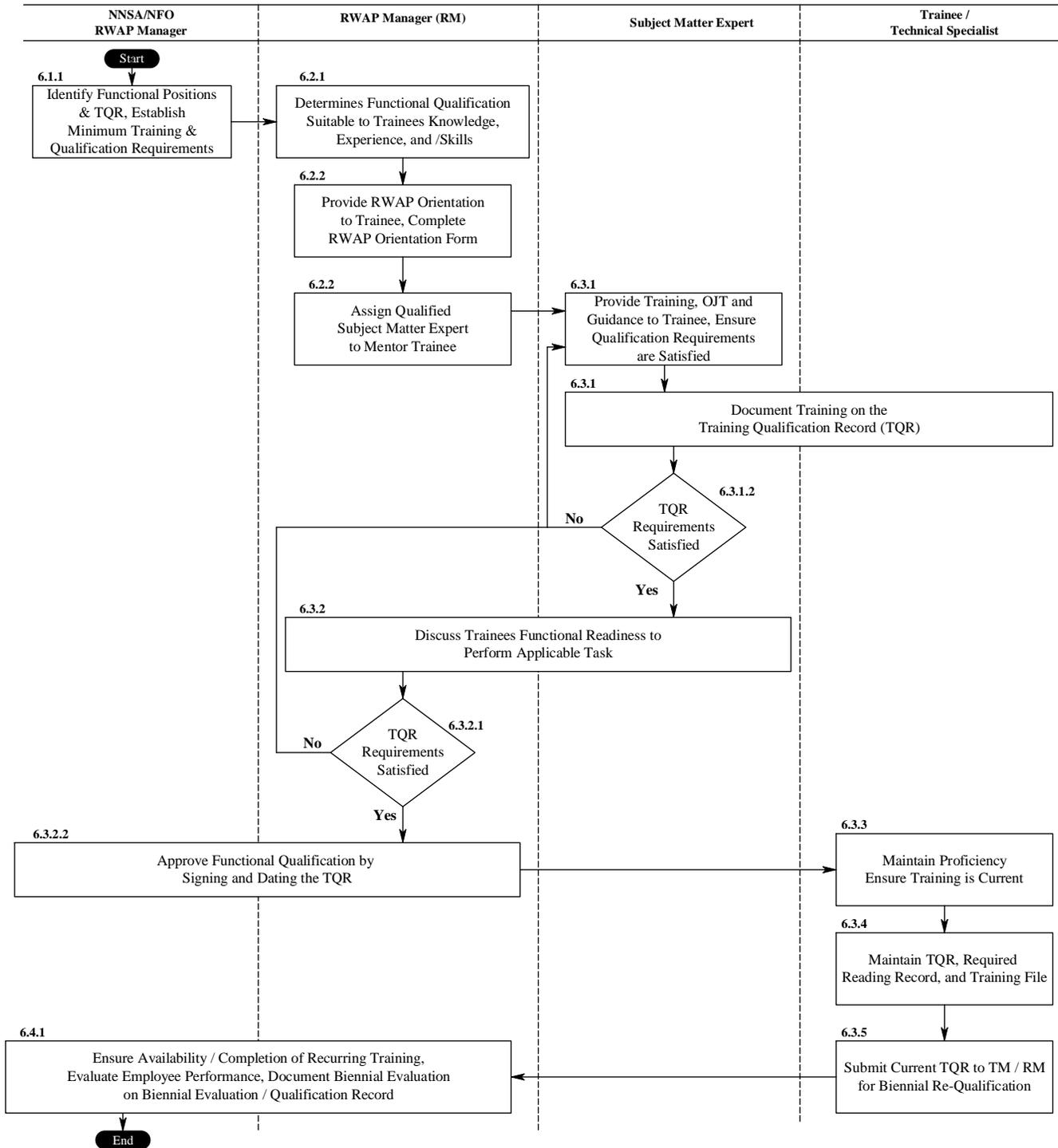
11.0 APPENDIX

11.1 Appendix A - Lead Auditor Certification Requirements

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**Exhibit 1
Training and Qualification Flow Diagram**



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**Exhibit 2
Functional Qualification & Training Matrix**

POSITION ASSIGNMENT *	Initial Qualification			Biennial Qualification		
	Required Reading	RWAP Orientation	Training & Qualification Record	Biennial Qualification	RCRA Training	RAD Training
Chemical Characterization Auditor	A	B	B	C	C	
Radiological Characterization Auditor	A	B	B	C	C	C
Waste Traceability Auditor	A	B	B	C	C	
Quality Assurance Auditor	A	B	B	C	C	
Lead Auditor	A	B	B	C	C	
Visual / Chemical Verification Representative	A	B	B	C		
Real Time Radiography Representative	A	B	B	C		
Technical Specialist	D		B			

Legend:

A = Annual based on TQR approval by NM/RM and when core documents are revised.

B = Initial qualification documented in the respective TQR.

C = Biennial Evaluation / Qualification or Biennial (Recurring) Training Required.

D = As specified in TQR by the RM, Qualification good for 6 months.

** See applicable Training & Qualification Record (TQR) for position specific training.*

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Exhibit 3

RADIOACTIVE WASTE ACCEPTANCE PROGRAM

TRAINING & QUALIFICATION RECORD (TQR)

Functional Qualification

- Quality Auditor
- Waste Traceability Auditor
- Chemical Characterization Auditor
- Radiological Characterization Auditor
- Lead Auditor

Employee Name: _____
Print

I certify that I have completed the prerequisite training required for the above qualification(s). Evidence of completion is documented within this TQR and verified by an RWAP Subject Matter Expert (SME).

Employee Signature: _____ Date: _____

Verified by: _____ Date: _____
RWAP Subject Matter Expert (SME)

Qualification Approved by: _____

RWAP Manager: _____ Date: _____

NNSA/NFO RWAP Manager: _____ Date: _____

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Exhibit 3 Continued

RADIOACTIVE WASTE ACCEPTANCE PROGRAM TRAINING & QUALIFICATION RECORD (TQR)

RWAP Training Requirements Matrix details the minimum qualification requirements for RWAP audit personnel. Objective evidence of completing the minimum requirements is documented within and attached, if required. Satisfactory completion of this TQR was verified by the RWAP SME and RWAP Manager.

	Date Completed	Employee Initials	SME or RM Initials
Part A. Initial Training			
RWAP Employee Orientation Record. <i>Performed by RWAP Manager one on one with employee. Attach completed orientation record.</i>			
RWAP Required Reading Record. <i>Attach completed record. (Note: Employee must complete RWAP required reading form annually and when a listed document(s) is revised.)</i>			
Part B. On-the-Job-Training (OJT) Provided by RWAP Subject Matter Expert (SME).			
RWAP Procedural Overview and Form Completion: <i>Walk through of RWAP documents (i.e., NNSSWAC, NIC, RWAP plans, procedures, forms, etc.) to highlight processes and form completion.</i>			
RWAP-02, Conduct of Waste Generator Facility Evaluations: <i>General discussion / walk through of procedure that includes line by line review of requirements and forms for that includes methodology for planning, performance, and reporting the results of a generator facility evaluation.</i>			
RWAP Checklist Review / Completion: <i>Overview of respective functional area checklist to enhance knowledge:</i> <ul style="list-style-type: none"> - discuss methods on how a generator may satisfy requirements - review examples of completed checklist to understand lines of inquiry/questioning techniques - review sample checklist data entry practices summary of area 			
RWAP-03, Waste Generator Approval Process: <i>Discussion on procedure includes line by line review of requirements, forms/documents (i.e. QAPs, Cert. Plan, Waste Profile/Instructions, PTN, CVR, etc.).</i>			
RWAP-07 Corrective Action Request: <i>Discussion/ walk through of the procedure that includes line by line review of requirements, forms:</i> <ul style="list-style-type: none"> - review of CAR Log and numbering - documenting requirements to ensure a clear understanding of the requirements that includes NNSSWAC and/or a generator specific requirements - documenting the deficiency to ensure a clearly describe the non-compliant condition(s) and examples of non-compliances - process flow for issuance, monitoring, resolution, and closure 			
Corrective Action Plans (CAPs) / Objective Evidence Review: <i>Overview of process for review and acceptance of corrective actions / objective evidence to ensure CAPs include procedural requirements for</i> <ul style="list-style-type: none"> - root cause analysis, determination methodology and adequacy - action to preclude recurrence, will it prevent recurrence - proposed completion date - ensuring objective evidence clearly meet or satisfies the CAP requirements 			
Root Cause Analysis Training: <i>Training that provides fundamentals of performing and evaluating root</i>			

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	Date Completed	Employee Initials	SME or RM Initials
<i>causal analyses. Can be obtained via approved Web Based Training (WBT). Formal classroom training provided by internal / external organization is also acceptable. Attach attendance record and/or record of completion.</i>			
Oral / Written Communication Skills: <i>General evaluation by SME and/or RM based on employees qualification and experience at hiring, daily interface with the employee, completion of required training, and review of documents written by the employee.</i>			

Part C. Functional Specific Training (RM will specify applicable training by checking required boxes.)

<input type="checkbox"/> Quality Auditor: 1. Formal auditor or lead auditor training course provided by NSTec or external training organization that requires satisfactory completion of final exam. <i>Attach attendance record and/or certification document.</i> 2. Participation in a minimum of four RWAP FEs under the guidance of a qualified SME that includes evaluating the respective functional program elements and completion of associated RWAP records and checklist. <i>Record FE participation in TQR, Part D</i>			
<input type="checkbox"/> Waste Traceability Auditor: 1. Formal auditor or lead auditor training course provided by NSTec or external training organization that requires satisfactory completion of final exam. <i>Attach attendance record and/or certification document.</i> 2. Participation in a minimum of four RWAP FEs under the guidance of a qualified SME that includes evaluating the respective functional program elements and completion of associated RWAP records and checklist. <i>Record FE participation in TQR, Part D.</i>			
<input type="checkbox"/> Chemical Characterization Auditor: 1. Formal auditor or lead auditor internal training course or external training organizations that require satisfactory completion of final exam. <i>Attach attendance record and/or certification document.</i> 2. Formal RCRA training course provided by NSTec or outside training organization. <i>Attach attendance record and/or certification document.</i> 3. Participation in a minimum of four RWAP FEs under the guidance of a qualified SME that includes evaluating the respective functional program elements and completion of associated RWAP records and checklist. <i>Record FE participation in TQR, Part D</i>			
<input type="checkbox"/> Radiological Characterization Auditor: 1. Formal auditor or lead auditor training course provided by NSTec or external training organizations that require satisfactory completion of final exam. <i>Attach copy of attendance record and/or certification document.</i> 2. Formal training course (internal / external training organization) in radiation detection, radiochemical analysis, or radioactive waste management. <i>Attach attendance record and/or certification document.</i> 3. Participation in a minimum of four RWAP FEs under a qualified SME that includes evaluating the program elements and completion of RWAP records and checklist. <i>Record participation in TQR.</i>			
<input type="checkbox"/> Lead Auditor: 1. Formal lead auditor internal training course or external training organization requiring satisfactory completion of a final exam. <i>Attach copy of attendance record and/or certification document. Note: Formal training can be waived if employee has current LA certification from a nationally recognized organization (i.e., ASQ, ISO/RAB, etc). Attach copy of certificate.</i> 2. Participation in a minimum of four FEs with at least two acting as the LA under t a qualified LA/SME evaluating a quality management system or generators waste certification program and completion of associated RWAP records and checklist. <i>Record FE participation in TQR.</i> 3) Attach completed "Record of Lead Auditor Qualification" form approved by the NM/RM. (RWAP-04)			

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Exhibit 3
continued

RADIOACTIVE WASTE ACCEPTANCE PROGRAM TRAINING & QUALIFICATION RECORD (TQR)

Part D. FE Record of Participation (<i>Minimum of four FEs in the respective functional qualification.</i>)				
FE No.	Date(s) Performed	Generator	Function Performed	Witnessed by SME or RM
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**Exhibit 3a
RADIOACTIVE WASTE ACCEPTANCE PROGRAM
TRAINING & QUALIFICATION RECORD
(TQR)**

TECHNICAL SPECIALIST

Employee Name: _____

Print

I certify that I have completed the prerequisite training required for the above qualification(s). Evidence of completion is documented within the TQR and attached records, as applicable.

Employee Signature: _____

Date: _____

Verified by: _____

RWAP Subject Matter Expert (SME)

Date: _____

Qualification Approved by: _____

RWAP Manager: _____

Date: _____

NNSA/NFO RWAP Manager: _____

Date: _____

Note: Technical Specialist qualification is valid for six months from the NM / RM approval date.

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**Exhibit 3a
continued**

RADIOACTIVE WASTE ACCEPTANCE PROGRAM TRAINING & QUALIFICATION RECORD (TQR)

TECHNICAL SPECIALIST

RWAP Training Requirements Matrix details the minimum qualification requirements. Objective evidence of completing the minimum requirements is documented in this TQR and supporting records attached, if applicable. Satisfactory completion of the TQR was verified by the assigned RWAP SME and RWAP Manager.

	Date Completed	Employee Initials	SME or RM Initials
Part A - Initial Training.			
RWAP Employee Orientation Record. <i>Performed by RWAP Manager one on one with employee. Attach completed orientation record.</i>			
Complete RWAP Required Reading Record. <i>Technical Specialist only need to complete required reading of program documents as specified by the RM. Attach completed Required Reading Record.</i>			

Part B - Additional Training Required. <input type="checkbox"/> Yes <input type="checkbox"/> No <i>(RM will specify additional training below, as required.)</i>			

Part C - Provide Brief Summary of Special Qualification / Skill / Technical Expertise.			

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**Exhibit 3b
RADIOACTIVE WASTE ACCEPTANCE PROGRAM
TRAINING & QUALIFICATION RECORD
(TQR)
REAL TIME RADIOGRAPHY (RTR)
VERIFICATION REPRESENTATIVE**

Employee Name: _____ **Print**

I certify that I have completed the prerequisite training required for the above qualification. Evidence of completion is documented within the TQR and attached records, as applicable.

Employee Signature: _____ **Date:** _____

Verified by: _____ **Date:** _____
RWAP Subject Matter Expert (SME)

Qualification Approved by: _____

CO RWAP Manager: _____ **Date:** _____

NNSA/NFO RWAP Manager: _____ **Date:** _____

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**Exhibit 3b
Continued
RADIOACTIVE WASTE ACCEPTANCE PROGRAM
TRAINING & QUALIFICATION RECORD
(TQR)**

RWAP Training Requirements Matrix details the minimum qualification requirements. Objective evidence of completing the minimum requirements is documented within the TQR and supporting records attached, if required. Satisfactory completion of this TQR was verified by the RWAP SME and RWAP Manager.

	Date Completed	Employee Initials	SME or RM Initials
Part A. Initial Training			
RWAP Employee Orientation Record. <i>Performed by RWAP Manager one on one with employee. Attach completed orientation record.</i>			
Complete RWAP Required Reading Record. <i>Employee must complete RWAP required reading form annually and when a listed document(s) are revised. Attach completed Required Reading Record.</i>			
Part B. On-the-Job-Training (OJT) Provided by RWAP Subject Matter Expert (SME).			
RWAP Container Verification Record Form. <i>Work under the direction of a qualified SME and includes specific training in performing visual verification at a waste generators facility. Includes line-by-line review of RWAP-09 and completion of required forms.</i>			
RTR Operator / Image Interpretation Training. <i>Work under the direction of qualified SME / organization. Provide fundamentals of component /constituent recognition (i.e., liquids, lead, etc.). Record RTR verification information, provide RTR Unit ID, Location, Container Type / Identification and waste form / type verified below:</i> RTR Unit ID No.: _____ Loc.: _____ Container Type: _____ ID No. _____ Waste Form: _____ <i>Attach additional sheets if necessary.</i>			
Part C. Additional Training Required: <input type="checkbox"/> Yes <input type="checkbox"/> No <i>(RM will specify additional training below, as required.)</i>			

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**Exhibit 3c
RADIOACTIVE WASTE ACCEPTANCE PROGRAM
TRAINING & QUALIFICATION RECORD
(TQR)**

VISUAL CHEMICAL

VERIFICATION REPRESENTATIVE

Employee Name: _____

Print

I certify that I have completed the prerequisite training required for the above qualification. Evidence of completion is documented within the TQR and attached records, as applicable.

Employee Signature: _____

Date: _____

Verified by: _____
RWAP Subject Matter Expert (SME)

Date: _____

Qualification Approved by: _____

CO RWAP Manager: _____

Date: _____

NNSA/NFO RWAP Manager: _____

Date: _____

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Exhibit 3c continued

RADIOACTIVE WASTE ACCEPTANCE PROGRAM TRAINING & QUALIFICATION RECORD (TQR)

RWAP Training Requirements Matrix details the minimum qualification requirements. Objective evidence of completing the minimum requirements is documented within the TQR and supporting records attached, if required. Satisfactory completion of this TQR was verified by the RWAP SME and RWAP Manager.

	Date Completed	Employee Initials	SME or RM Initials
Part A. Initial Training.			
RWAP Employee Orientation Record. <i>Performed by RWAP Manager one on one with employee. Attach completed orientation record.</i>			
Complete RWAP Required Reading Record. <i>Employee must complete RWAP required reading form annually and when a listed document is revised. Attach completed record.</i>			
Part B. On-the-Job-Training (OJT) <i>Provided by RWAP Subject Matter Expert (SME).</i>			
<input type="checkbox"/> Visual Verification: <i>Work under the direction of a qualified SME and includes specific training in performing visual verification at a waste generators facility. Includes line by line review of RWAP-09 and completion of required forms.</i>			
<input type="checkbox"/> HazCat - Chemical Screening Training: <i>(Required for chemical verification representative only.) Work under the direction of a qualified SME and includes specific training in performing chemical screening at a waste generator's facility and use of the RWAP HazCat Kit. Includes instruction on completing required forms and implementation of RWAP-09, Waste Verification Process.</i>			
<input type="checkbox"/> Visual Verification: <input type="checkbox"/> Chemical Screening: <i>Performed at generators facility under the guidance of qualified SME. Must complete a minimum of one verification (Visual and/or Chemical) for the designated qualification. Identify Generator and Waste Stream below:</i> Generator: _____ Waste Stream: _____			
Part C, Additional Training Required. <input type="checkbox"/> Yes <input type="checkbox"/> No <i>(RM will specify additional training below, as required.)</i>			

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Exhibit 4

RADIOACTIVE WASTE ACCEPTANCE PROGRAM

EMPLOYEE ORIENTATION

Name: _____

Date: _____

Functional Qualification: _____

This checklist documents the initial orientation of RWAP personnel assigned to perform work in the Nuclear National Security Administration Nevada Field Office (NNSA/NFO), Radioactive Waste Acceptance Program (RWAP). The RWAP Manager (RM) provides the orientation through general discussions of the following subjects in sufficient detail to provide the employee with a general understanding of the RWAP mission and program requirements.

Subject Document / Topic:	Date Completed`	Employee Initials
NNSA/NFO Organizational Structure and Roles and Responsibilities	_____	_____
RWAP Roles and Responsibilities	_____	_____
NSTec Organizational Structure and Roles and Responsibilities	_____	_____
State of Nevada, Department of Environmental Protection Role	_____	_____
NNSA/NFO, RWAP, and NSTec Interface	_____	_____
NNSSWAC (Provide Copy)	_____	_____
RWAP Implementation Plan	_____	_____
<i>Mixed Waste Disposal Unit Waste Analysis Plan</i>	_____	_____
RWAP Instruction Overview	_____	_____
Generator Point of Contact List (POC)	_____	_____
Functional Qualification & Training Matrix	_____	_____
Functional Training & Qualification Record	_____	_____

Completed by: _____

Date: _____

Employee

Approved by: _____

Date: _____

RWAP Manager (RM)

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Exhibit 5

 <small>National Nuclear Security Administration</small>	Radioactive Waste Acceptance Program REQUIRED READING RECORD		
Printed Name: _____		Organization: _____	
Signature: _____		Date Completed: _____	
Job Title / Position: _____			
<input type="checkbox"/> Initial Qualification <input type="checkbox"/> Annual Required Reading <input type="checkbox"/>			
Revised Document(s) Only			
Document ID.	Document Title	Revision	Initial & Date
NVO-325	Nevada National Security Site Waste Acceptance Criteria *		
DOE Order 414.1	Quality Assurance *		
Title 10, CFR 830.122	Quality Assurance *		
DOE Order 435.1	Radioactive Waste Management *		
RWAP-P1	RWAP Implementation Plan *		
MWDU WAP	Mixed Waste Disposal Unit Waste		
RWAP-01	Preparation of RWAP Instructions *		
RWAP-02	Conduct of Waste Generator Facility		
RWAP-03	Waste Generator Documentation		
RWAP-04	Training and Qualification of Personnel		
RWAP-05	Records Management *		
RWAP-07	Corrective Action Requests *		
RWAP-08	Document Control *		
RWAP-09	Waste Verification Process *		

TRAINING AND QUALIFICATION OF PERSONNEL

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** Minimum required reading for RWAP position / qualification. Additional documents may be added by the NM or RM.*

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Exhibit 7

RECORD OF LEAD AUDITOR CERTIFICATION	Name: _____	Date: _____
EMPLOYER: _____		
QUALIFICATION POINT REQUIREMENTS:		POINTS
Education - University / Degree Date 4 Pts. Max.		
1. Undergraduate Level 2. Graduate Level		
Experience - Company / Dates 9 Pts. 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 Pts. Max.		
1. P.E. 2. Society		
Management - Justification / Evaluator / Date 2 Pts. Max.		
Comments: Evaluated by: _____ <div style="display: flex; justify-content: space-between; width: 80%; margin-left: 10%;"> (Name and Title) Date </div>		
Total Points: _____		
AUDITOR COMMUNICATION SKILLS:		
Evaluated by:		
Name and Title: _____		Date: _____
AUDIT TRAINING COURSE(S):		
Course Title or Topic		Date
1. _____		
2. _____		
AUDIT PARTICIPATION:		
	Audit Number	Location / Type of Evaluation
1.		
2.		
3.		
4.		
5.		
EXAMINATION DATE: <input type="checkbox"/> PASSED		
LEAD AUDITOR QUALIFICATION CERTIFIED BY: (NM or RM Signature and Title)		Date Certified: _____

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Exhibit 8

RADIOACTIVE WASTE ACCEPTANCE PROGRAM

BIENNIAL EVALUATION / QUALIFICATION

Employee Name: _____
Print

- | | | |
|--|---|---|
| <input type="checkbox"/> Quality Assurance Auditor | <input type="checkbox"/> Quality Assurance Lead Auditor | <input type="checkbox"/> Waste Traceability |
| <input type="checkbox"/> Chemical Characterization | <input type="checkbox"/> Radiological Characterization | <input type="checkbox"/> RTR Representative |
| <input type="checkbox"/> Visual / Chemical Verification Specialist | | |

I certify that I have maintained job proficiency and training requirements specified for the above position(s) in accordance with the current revision of RWAP-04, *Training and Qualification of Personnel*. Evidence of training completed (i.e., required reading records, FE Log, training certificates, etc.) within the past two years are attached to support continued qualification of the checked TQR(s) above.

Employee Signature: _____ Date: _____

Biennial Qualification Approval:

Applicable training records for the biennial re-qualification have been reviewed and found acceptable in satisfying current program requirements.

- Training Waived: (*Identify training needed, provide justification for waiver and when training will be completed.*)

Employee has continued to participate in respective RWAP programs and processes, which has increased their level of knowledge and skill necessary for the position. Daily performance of duties and meeting goals and objective are acceptable.

Based on this evaluation, I hereby approve the TQR re-qualification. The next re-qualification is due two years from the signature date below.

CO RWAP Manager: _____ Date: _____

NNSA/NFO RWAP Manager: _____ Date: _____

Attach records / evidence of completed recurring training to support re-qualification.

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Appendix A Lead Auditor Certification Requirements

1. Candidates for the position of Lead Auditor are qualified in accordance with ASME NQA-1, Supplement 2S-3 and shall meet the following requirements:
 - a. Score at least ten points under the following scoring system, documented on the Record of Lead Auditor Certification (Exhibit 6):
 - (1) Education (four points maximum)

Associate degree from an accredited institution - score one credit; or

Associate degree from an accredited institution in engineering, physical sciences, mathematics, or quality assurance - score two points; or

Bachelor degree from an accredited institution - score two points; or

Bachelor degree from an accredited institution in engineering, physical sciences, mathematics, or quality assurance - score three points;

Masters degree from an accredited institution in engineering, physical sciences, business management, or quality assurance - score one additional credit.
 - (2) Experience (nine points maximum)

Technical experience in engineering, manufacturing, science, construction, operation, or maintenance: score one credit for each full year with a maximum of five points for this aspect of experience.

If two years of this experience have been in the nuclear field, score one additional credit; or

If two years of this experience have been in quality assurance, score two additional points; or

If two years of this experience have been in auditing, score three additional points; or

If two years of this experience have been in nuclear quality assurance, score three additional points; or

If two years of this experience have been in nuclear quality assurance auditing, score four additional points.

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- (3) Other credentials of professional competence (two points maximum)

Achieved recognized certification of competency in engineering, science, or quality assurance specialties issued and approved by a state agency or a national professional or technical society, i.e., ASQ or RAB lead auditor certification: score two points.

- (4) Rights of management (two points maximum)

Management may grant up to two points for other performance factors applicable to auditing which may not be explicitly called out in this procedure. Examples of these factors are leadership, sound judgment, maturity, analytical ability, tenacity, past performance, and quality assurance training courses.

- b. Complete training in at least one of the following:

- (1) Approved Lead Auditor course, or
- (2) Approved audit workshop
- (3) Documented on-the-job training under the supervision of a Lead Auditor

- c. Participate in a minimum of five audits within three years prior to the date of qualification. At least three of these audits will have been performed in RWAP program.

- d. Pass an examination, which will test his/her ability to apply their knowledge of auditing. The minimum passing score will be 70 percent. The examination may be oral, written, practical, or any combination of the three as determined by the RM. Successful completion of examinations taken in conjunction with any recognized audit training may be used to satisfy this requirement.

- (1) The development and administration of a written examination for a Lead Auditor is the responsibility of the RM. Integrity of the examination will be maintained through appropriate confidentiality of files and, where applicable, proctoring of the examinations.

2. The NM/RM reviews the completed TQR, Facility Evaluation Participation Log, and Lead Auditor Qualification Record for qualification of a Lead Auditor. The NM or RM will sign and date the TQR.

3. Current Lead Auditor qualification documented in accordance with any recognized qualification program may be used to certify a Lead Auditor based upon:

- (1) Review and acceptance of a current Lead Auditor qualification by the NM/RM. This review will be documented on the TQR.
- (2) Completion of training in accordance with this instruction.

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- (3) Completion of two audit/surveillance acting as the lead auditor under the direction of an RWAP qualified Lead Auditor.
4. Lead Auditors must lead at least three audits/surveillances within a two-year period.
5. Lead Auditors failing to maintain their proficiency for a period of two years or more will require re-certification, which consist of retraining, retesting, and active participation in at least three audits. A training waiver may be considered based on employees past qualifications, work history in a comparable field of experience, and technical proficiency in accordance with paragraph 6.4.5.1.