

IMPORTANT NOTICE: The current official version of this document is available via the Sandia National Laboratories WIPP Online Documents web site. A printed copy of this document may not be the version currently in effect.

NUCLEAR WASTE MANAGEMENT PROCEDURE

NP 2-1 QUALIFICATION AND TRAINING Revision 7

Effective Date: 06/03/04

Author:	Marilyn Lewis	Original signed by Marilyn J. Lewis	5/26/04
	(printed name)	(signature)	date

1.0 Purpose and Scope

This procedure prescribes the process to be followed to ensure individuals working to the SNL WIPP QA program are qualified and/or trained to perform their assigned tasks.

Acronyms and definitions for terms used in this procedure may be found in the Glossary located at the Sandia National Laboratories (SNL) WIPP Online Documents web site.

2.0 Implementation Actions

Each SNL WIPP manager is responsible for ensuring individuals under his/her supervision are properly qualified and trained to perform assigned tasks. This responsibility includes determining and documenting job-specific technical qualification requirements and training expectations for each individual. Training on SNL WIPP Quality Assurance (QA) programmatic requirements is the responsibility of the SNL WIPP QA Lead.

Each individual working within the SNL WIPP program is responsible for using correct and current procedures, as applicable, when performing work.

2.1 Initial Qualification and Training of Individuals

SNL WIPP managers shall ensure that each individual working for them is qualified to perform the duties of their assigned job/position. Qualification and Training is documented on Form NP 2-1-1, Qualification and Training form (see Appendix A). To begin the qualification process, the responsible manager initiates a Form NP 2-1-1 ensuring the employee's personal information is entered in Section I.

Note: Completion of Form NP 2-1-1 is required before beginning work subject to quality assurance requirements.

2.1.1 Job Description

It is important that the responsible manager evaluate the position to which the individual will be assigned, and determine the minimum skills, knowledge, and proficiencies required to perform properly in that position. This "Job Description" is defined in Section II of Form NP 2-1-1 by listing the following information:

- Job Category
- Job Title
- Minimum education and experience required for the position
- Primary tasks the individual will perform

Note: The job category shall be chosen from the categories described in the Procedures Matrix in Appendix B. More than one category can be assigned to an individual.

2.1.2 Training Required for the Position

SNL WIPP managers shall ensure that individuals new to the WIPP program receive initial training consisting of the following:

- a summary of job responsibilities;
- an overview of the SNL WIPP QA Program procedures, focusing on procedures applicable to their assigned job;
- identification of applicable codes, standards, regulations, and other implementing documents applicable to the job.

2.1.2.1 Job Specific Training

The manager shall list, in Section III(a) of Form NP 2-1-1, the procedures required by the Procedures Matrix (see Appendix B) for the assigned job category(s). In addition to these required procedures, the responsible manager shall identify, in Section III(b), any unique job-specific training requirements which need to be completed by the employee. This might include reviewing relevant WIPP Test Plans, Analysis Plans, SPs, regulatory requirements, or scientific and technical procedures. The employee shall read the procedures and documents assigned in Section III before signing off in Section V(a) of Form NP 2-1-1.

2.1.2.2 WIPP QA Program Training

Individuals new to the WIPP program shall receive initial WIPP QA Program training consisting of an overview of the SNL WIPP QA Program procedures. WIPP QA training may be completed by attending classroom training, receiving one-on-one instruction, or viewing the Web-based QA slide show. QA Program training shall be completed before the employee signs off in Section V(a) of Form NP 2-1-1.

External Reviewers are defined as individuals external to the SNL WIPP program who provide short-term support for specific document reviews. These are the only individuals not required to receive WIPP QA Program training defined above prior to beginning work on WIPP activities. External Reviewers shall, as a minimum, read NP 6-1 (Document Review Process) and NP 2-1 (this procedure) and complete Form NP 2-1-1 prior to starting work. The WIPP manager or Principal Investigator (PI) responsible for the External Reviewer shall determine the need for additional training based on the scope of work, and assign this to the External Reviewer by completing Section III of Form NP 2-1-1.

2.1.3 Employee Qualifications

The employee shall document his/her qualifications to hold the position by listing job-relevant education, experience, and training in Section IV.

2.1.4 Verification of Employee Qualifications

A critical step in ensuring that an appropriately qualified and trained individual is assigned to each position is the evaluation and verification of the employee's qualifications. The manager must ensure that the individual has met or exceeded minimum requirements including the necessary education and experience as defined in Section II of Form NP 2-1-1. For Sandia National Laboratories employees, the responsible manager shall verify this information through the Sandia National Laboratories Human Resources Department.

Each individual completing Form NP 2-1-1 shall sign Section V (a) indicating that the information he/she has provided is correct and that all assigned training, including participating in QA program training and reading required procedures and documents, has been completed.

After ensuring that Sections I-IV of Form NP 2-1-1 have been completed as described above, the employee's responsible WIPP manager signs in Section V (c). The manager's signature in Section V(c) certifies that the qualifications listed in Section IV of Form NP 2-1-1 satisfy the requirements listed in Sections II and III.

2.1.4.1 Non-Sandia Employees

An individual, from the non-Sandian's company, capable of verifying qualification information shall sign item Section IV(b). This signature indicates that the information provided in Section IV is accurate and factual. This verification of a non-Sandian's qualifications shall be documented by the person performing the verification in Section V(b). After that is completed, the responsible WIPP manager shall sign Section V(c).

Upon completion of Form NP 2-1-1, the Training Coordinator updates the training database and submits the form to the Records Center. The Training Coordinator then informs document control (e.g. email, memo, etc) of the addition of the new individual and their email address for purposes of document control.

2.2 Updated Qualification and Training of Individuals

When an individual's job scope changes and different qualifications and skills are required than are documented on the current Qualification and Training form, a new Qualification and Training form shall be completed. When an individual completes additional job-related education or training, i.e. an educational degree or certificate, a new Qualification and Training form shall be completed. The Training Coordinator updates the training database and submits the form to the Records Center.

Note: A new Q&T form is not required for training documented on Form NP 2-1-2, Training Record, e.g. new or revised procedures training, Annual WIPP QA Program training, etc.

2.3 Annual WIPP QA Training

Individuals performing work for the WIPP Program, with the exception of External Reviewers, shall receive WIPP QA Program Training on an annual basis. Training shall be provided by the WIPP QA team, and include an overview of WIPP QA requirements and procedures. Additionally, any QA implementation actions identified as weak areas by the QA staff shall receive special emphasis and explanation. WIPP QA Training may be completed by:

- Attending a classroom session,
- Receiving one-on-one training,
Note: For both classroom training and one-on-one instruction, the instructor completes Section I of Form NP 2-1-2 and gives it to the Training Coordinator after participant(s) signs Section II. The Training Coordinator updates the training database and submits the form to the Records Center.
- Viewing of Web-Based slide presentation found on document control web page
Note: Concurrence from a QA staff member is required in Section I of Form NP 2-1-2 when web-based training has been completed. QA staff member signs as instructor after verifying training has been completed and gives the form to the Training Coordinator. The Training Coordinator updates the training database and submits the form to the Records Center. See Flowchart Appendix E.

2.4 New or Revised Procedure Training

As specified in NP 5-1 (Implementing Procedures), the author of a new procedure or procedure revision shall determine if training is required and document this decision on Form NP 5-1-1 (Procedure History and Review/Approval) under the "Training Determination" header. Responsible managers will be notified by Document Control of new and revised procedures requiring training.

When training is required for a new or revised procedure, it is the Sandia National Laboratories manager's responsibility to ensure individuals working for him/her are trained on new or revised procedures applicable to their scope of work. This may be accomplished through personal instruction, classroom training, or other appropriate means. This training shall be documented on a Form NP 2-1-2. The instructor shall submit the form to the Records Center.

2.5 Documentation of Training

Form NP 2-1-2 is used to document training (classroom, one-on-one, web-based, self study). For classroom and one-on-one training, the instructor completes Section I, providing a description of the training. Each individual attending the training signs in Section II. For web-based or self study training, a member of QA staff signs in Section I testifying to the completion of the training. Upon completion of the training, the Training Coordinator updates the training database if necessary. The Training Coordinator or instructor submits Form NP 2-1-2 to the Records Center. Form NP 2-1-2 is used to document Annual WIPP QA Program training, on the job training, and other job related training.

3.0 Records

The following QA records, generated through the implementation of this procedure, shall be prepared and submitted to the WIPP Records Center in accordance with NP 17-1 (Records):

<u>QA Record</u>	<u>Preparer</u>	<u>Records Submitter</u>
• Form NP 2-1-1	Individual or SNL Manager	Training Coordinator
• Form NP 2-1-2	Instructor or Training Participant	Training Coordinator or Instructor

4.0 Appendices

- Appendix A: Qualification and Training, Form NP 2-1-1
- Appendix B: Procedures Matrix
- Appendix C: Training Record, Form NP 2-1-2
- Appendix D: Qualification and Training Flow Chart
- Appendix E: Flow Chart for Class Room and One-on-One Training
- Appendix F: Flow Chart for Web Based Training and Self-Study



Appendix A

<p style="text-align: center;">NUCLEAR WASTE MANAGEMENT PROCEDURE</p> <p>Sandia National Laboratories</p>	<h1 style="margin: 0;">Qualification and Training</h1>	<p>Form Number: NP 2-1-1</p> <p>Page 1 of 1</p>
--	--	---

Section I Employee Personal Information

a. Name: _____
 Phone: () _____ Fax: () _____ E-mail: _____
 b. Employee of Sandia National Laboratories? Yes No
 c. Contractor Additional Information:
 Employer: _____ Employer's Address: _____
 Employer's phone #: () _____

Section II Job Description (to be completed by SNL WIPP Manager)

a. Job Category(s) (from Appx. B): _____
 Job Title: _____
 b. Minimum Requirements of the Position (e.g., Ph.D. in Geology with experience in rock geophysics and use of mass spectrometer)
 Education: _____
 Experience: _____
 c. Primary job tasks for this position (describe exactly what the individual will be doing in this position):

Section III Job Specific Training Requirements for the Position (to be completed by SNL WIPP Manager)
 Note: For New employees, with the exception of External Reviewers, WIPP QA Program training is required.

a. List procedures required by the six E for job categories assigned in Section II(a).

 b. List any additional procedures, documents which the individual must read and understand for this position (e.g. Test Plans, Analysis Plans, SPS, etc.)

 c. List any equipment or tools (such as a certain computer application) with which the employee must be proficient. The level of proficiency can be specified, e.g., expert, average, etc.

Section IV Employee Qualifications (to be completed by Employee)

Summarize your education and experience which qualified you for the above position.
 a. Education (Academic degrees and schools) _____
 b. Experience (past work related to this position) _____

Section V Signatures

a. **Employee:** I certify that the information in Section IV is factual, that I have read all procedures required in Appendix B and all documents listed in Section III, and that I have completed QA Program Training.

 (Printed Name) Signature Date
 b. **Non-Sandian Verifier:** I have verified that the information in Section IV is factual. [Note: SNL employees leave Section V(b) blank]

 (Printed Name) Signature Date
 c. **SNL WIPP Manager:** (sign for both SNL Employees and Contractors) I have evaluated the education, experience, and training of this employee and certify that he/she is qualified to perform the duties of this position.

 (Printed Name) Signature Date

Note: When form is complete, please forward to the Training Coordinator.

Appendix B Procedures Matrix

Job Category Procedure		Admin. Staff			Technical Staff							External Reviewer	SDR or Receipt Inspector	Management	Quality Assurance
		Administrative/Support	Business/Project Mgmt.	Documents/Records	Analyst	Design	Equipment Custodian	Experimentalist	Field Investigator	Lab Manager	System Administrator				
NP 1-1	Organization and QA Program	●	●	●	●	●	●	●	●	●	●			●	●
NP 2-1	Qualification and Training	●	●	●	●	●	●	●	●	●	●	●		●	●
NP 3-1	Design Control					●								●	●
NP 4-1	Procurement		●				●			●	●		●	●	●
NP 5-1	Implementing Procedures	●	●	●	●	●	●	●	●	●				●	●
NP 6-1	Document Review Process	●	●	●	●	●	●	●	●	●	●	●		●	●
NP 6-2	Document Control Process			●	●	●	●	●	●	●				●	●
NP 9-1	Analyses				●	●		●	●					●	●
NP 9-2	Parameters				●			●						●	●
NP 12-1	Control of Measuring and Test Equipment						●	●	●	●				●	●
NP 13-1	Control of Samples and Chemical Standards						●	●	●	●				●	●
NP 16-1	Corrective Action	●	●	●	●	●	●	●	●	●	●		●	●	●
NP 17-1	Records	●	●	●	●	●	●	●	●	●	●		●	●	●
NP 18-1	Audits and Surveillances													●	●
NP 19-1	Software Requirements				●	●	●	●	●	●				●	●
NP 20-1	Test Plans						●	●	●	●				●	●
NP 20-2	Scientific Notebooks						●	●	●	●				●	●

Note: This matrix identifies the procedures required for different job categories. Procedures marked with a “●” must be read prior to performing work. Management may require other reading in addition to the procedures prescribed here.

Definitions:

- Administrative/Support:** secretaries, computer support, student interns, and other support staff
- Business/Project Mgmt:** members of the Business & Project Management Team
- Documents/Records:** document control, document services, and records staff
- Analyst:** modelers, programmers, database administrators, and SCM coordinator
- Design:** designer of engineered systems, structures or components of the repository system
- Equipment Custodian:** tracks M&TE inventory, documentation, calibration status, maintenance and location
- Experimentalist:** scientific investigators and lab technicians
- Field Investigator:** field investigators and technicians
- Lab Manager:** manager of the laboratory
- System Administrator:** administrator of computer systems and networks
- External Reviewer:** staff external to the program brought in as short term support for document reviews
- SDR:** Sandia Delegated Representative
- Receipt Inspector:** SNL WIPP receipt inspector
- Management:** members of Sandia management
- Quality Assurance:** members of the Quality Assurance Team



Appendix C

NUCLEAR WASTE MANAGEMENT PROCEDURE Sandia National Laboratories	<h2 style="margin: 0;">Training Record</h2>	Form Number: NP 2-1-2 Page ____ of ____
---	---	---

Section I

Instructor: _____
(N/A for web-based or self study)

Print
Signature
Date of Training

Method of Training (Check one if QA, N/A for other types of training)

classroom
 one-on-one
 web-based
 self study

QA Concurrence for Web-Based or Self Study (N/A for other type of training)

Print
Signature
Date

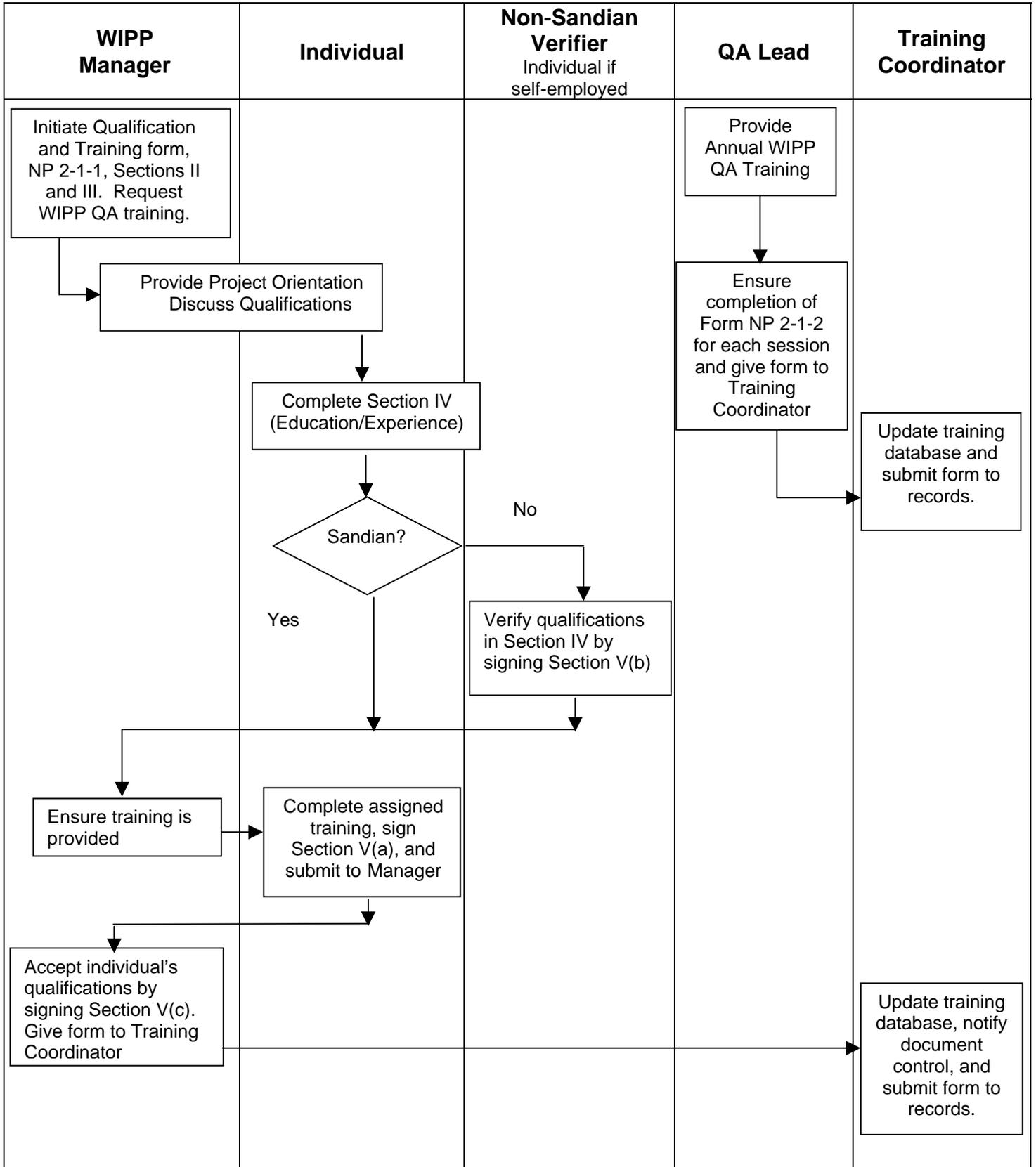
Type of Training: _____

Brief description of material covered:

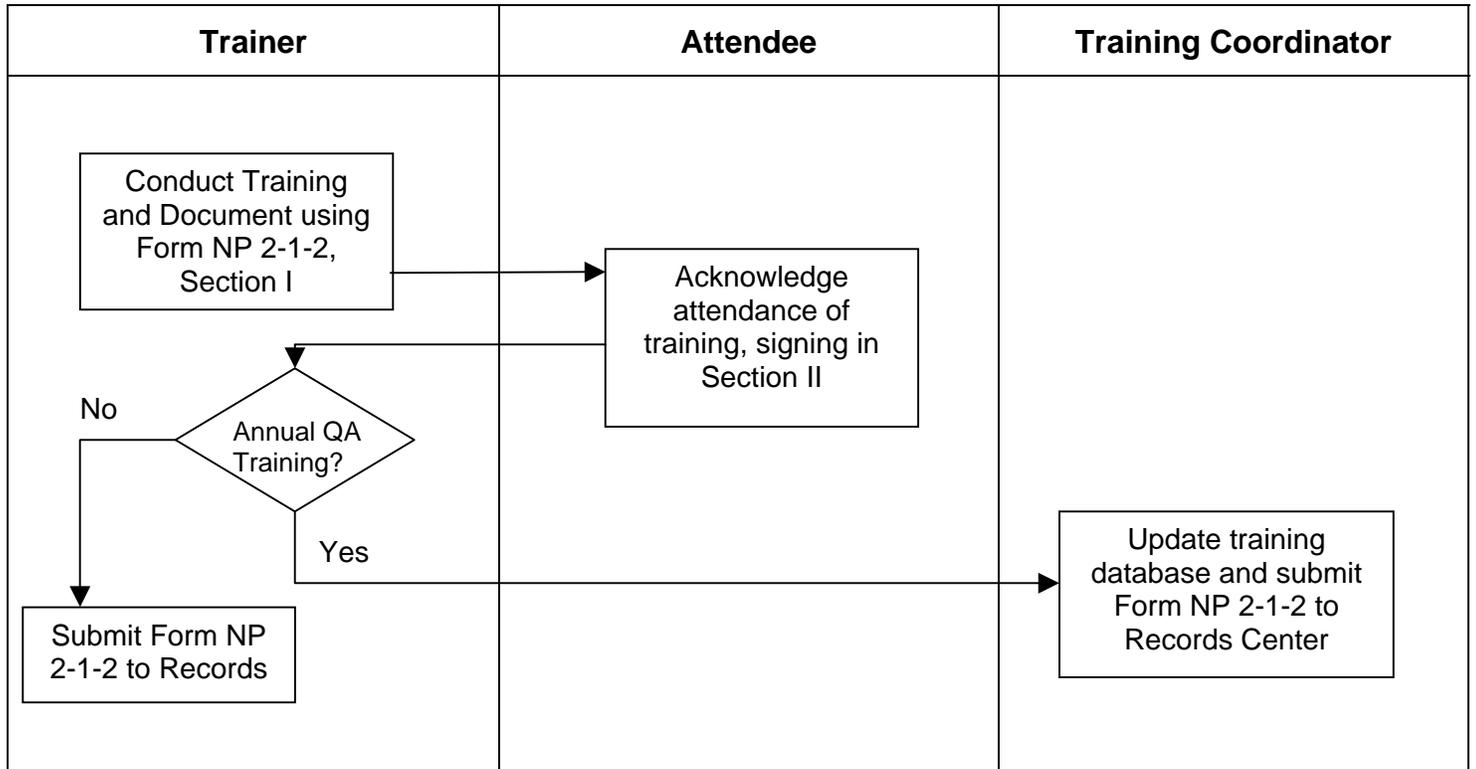
Section II Register of Participants

Surnamed Name of Participant (Last Name, First Name, Middle Initial)	Signature of Participant	Organization
1		
2		
3		
4		
5		
6		
7		
8		
9		
10		
11		
12		
13		
14		
15		

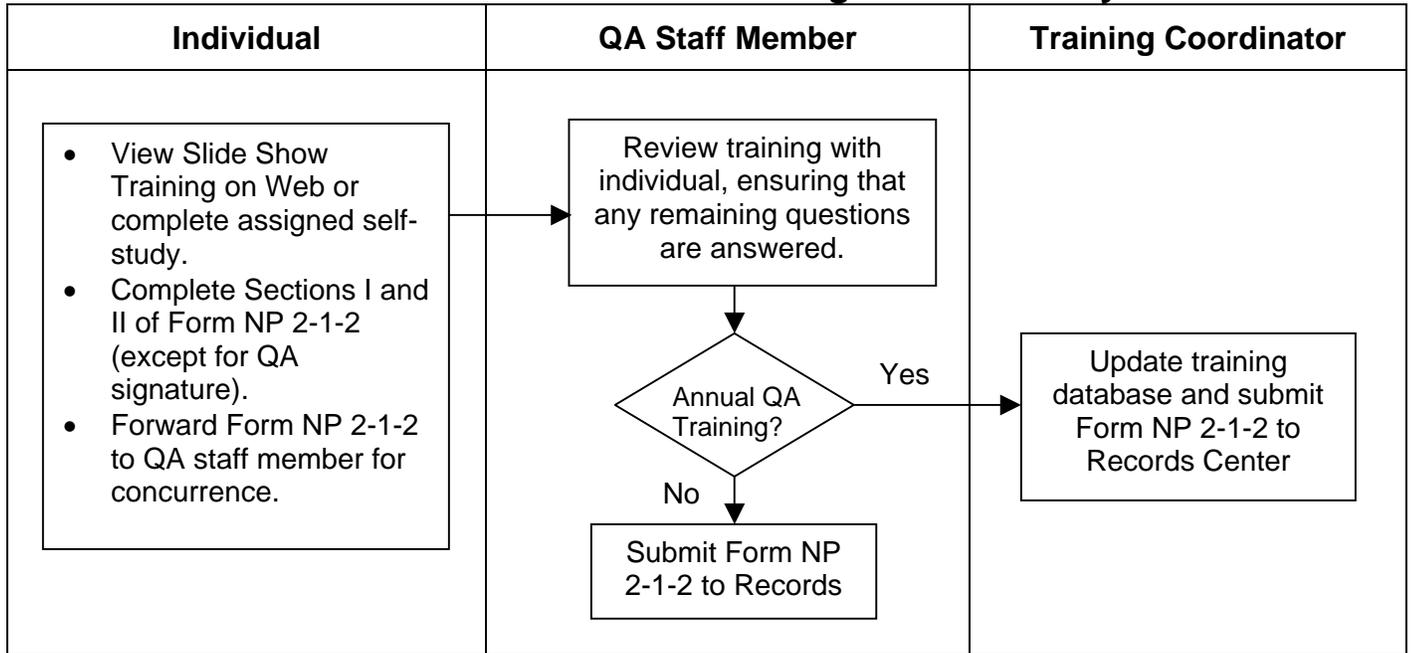
Appendix D Qualification and Training Flow Chart



Appendix E Flow Chart for Class Room and One-on-One Training



Appendix F Flow Chart for Web Based Training and Self-Study



NOTICE: This document was prepared as an account of work sponsored by an agency of the United States Government. Neither the United States Government nor any agency thereof, nor any of their employees, nor any of their contractors, subcontractors, or their employees, makes any warranty, express or implied, or assumes any legal liability or responsibility for the accuracy, completeness, or usefulness or any information, apparatus, product or process disclosed, or represents that its use would not infringe privately owned rights. Reference herein to any specific commercial product, process or service by trade name, trademark, manufacturer, or otherwise, does not necessarily constitute or imply its endorsement, recommendation, or favoring by the United States Government, any agency thereof or any of their contractors or subcontractors. The views and opinions expressed herein do not necessarily state or reflect those of the United States Government, any agency thereof or any of their contractors.

This document was authored by Sandia Corporation under Contract No. DE-AC04-94AL85000 with the United States Department of Energy. Parties are allowed to download copies at no cost for internal use within your organization only provided that any copies made are true and accurate. Copies must include a statement acknowledging Sandia Corporation's authorship of the subject matter.