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PROGRAM DOCUMENT

PD 3001 REV. B

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Superseding PD3001 REV A

NUCAP AUDITOR SELECTION, APPROVAL AND TRAINING
*****FOR USE ON AUDITS CONDUCTED ON OR AFTER SEPTEMBER 27, 2009*****

1. PURPOSE

This document is intended to delineate the selection, personnel training and approval program for individuals conducting technical audits for the NUCAP Organization under the NUCAP Program.

2. SCOPE

This document describes the minimum requirements for qualification, training, examination, and approval of NUCAP Auditors. This document also addresses pertinent responsibilities for procedures, periodic training, performance review, and record keeping requirements.

3. DEFINITIONS

AUDITOR: An "Auditor" is an individual qualified and approved as such in accordance with the NUCAP Organization's Audit Procedure. The Auditor is the individual who carries out an assigned audit in compliance with the applicable standard and prepares and submits a written audit report. Auditors may lead audits on which non-qualified auditors participate for training purposes.

AUDIT PROCEDURE: An "Audit Procedure" is a documented procedure (or set of procedures) prepared and controlled by the NUCAP Organization which addresses the organizations special process audit requirements. The Audit Procedure shall address all applicable requirements of this document (either directly or by reference) and shall be in compliance with the applicable requirements stated herein.

NUCAP: Nadcap Users Compliance and Audit Program

Issued By: PRI/Executive Director, Global Business Operations and Corporate Strategies:

[Signature on file at PRI] _____ Date: 29-JUNE-09

Approved By: NUCAP Management Council Chair:

[Signature on file at PRI] _____ Date: 29-JUNE-09

NUCAP ORGANIZATION: An approved Nadcap User Member or organization applying for NUCAP Certification or Re-Certification.

NOTE: Non-qualified individuals shall not independently conduct audits or audit results.

4. APPROVAL REQUIREMENTS FOR AUDITORS

To be approved as a NUCAP Auditor, candidates must satisfactorily meet the requirements defined by the NUCAP Organization's internal procedure. These requirements at a minimum must meet the following requirements:

Initial qualification combines education, experience, training, and other evidence of professional accomplishment. Each auditor candidate shall document background information per the standard form, "Questionnaire for Potential NUCAP Auditors", which identifies education, training, work experience, and audit experience. Copies of the candidate's certificates of training and competency shall be included, as appropriate.

Specific numerical values (credits) are assigned to each of these attributes and shall be documented on each commodity specific auditor candidate questionnaire. The following criterion applies unless specifically addressed in the applicable task group appendices.

To be considered as a NUCAP Auditor Candidate, for any commodity, an individual must accrue at least **8** of the possible **15** credits in the categories 4.1 through 4.3 and meet the specific point screening criteria applicable to each commodity, as identified in the appendices to this program document. As an alternative the individual may qualify under the industry peer recognition requirements of "Qualifying Existing Special Process Auditors" provisions in section 4.5.

Candidates meeting the general and commodity specific criteria shall perform a minimum of two audits with a company approved auditor in the respective commodity for final evaluation and approval prior to conducting independent audits in that commodity.

4.1 Education

(Minimum of high school graduation or graduate equivalency examination required)

- A) Associate degree from an accredited institution, if the degree is in engineering, physical science, materials science, or quality assurance. • 1 credit, or
- B) Bachelor's degree from an accredited institution, if the degree is in engineering, physical science, materials science, or quality assurance. • 3 credits
- C) For a Master's degree in engineering, physical sciences, materials science, business management, or quality assurance from an accredited institution. • add 1 credit

4.2 Experience

- A) Technical aerospace or defense experience
 - 1 credit each
 - 3 full years
 - 3 credits max

- B) Quality Assurance, Quality auditing experience
 - 1 credit each
 - 3 full years
 - 3 credits max

- C) Process control experience
 - 1 credit each
 - 3 full years
 - 3 credits max

4.3 Professional Accomplishment

- A) Certification of competency in engineering, science, or quality assurance specialties issued and approved by a state agency or national professional or technical society, e.g., ASQC Certified Quality Auditor or Registered Professional Engineer.
 - 1 credit

- B) Documented participation on pertinent technical committees, e.g., SAE, ASM, ASME, ASNT, MTI
 - 1 credit

4.4 Commodity-Specific Requirements

Specific screening qualification requirements are established by the applicable Nadcap Task Group and are shown in the applicable appendix of this program document.

From Appendix

Guidelines for Chemical Processing	• Appendix CP
Guidelines for Coatings	• Appendix CT
Guidelines for Composites	• Appendix COMP
Guidelines for Heat Treating	• Appendix HT
Guidelines for Materials Testing Laboratories	• Appendix MTL
Guidelines for Nonconventional Machining & Surface Enhancement	• Appendix NMSE
Guidelines for Nondestructive Testing	• Appendix NDT
Guidelines for Welding	• Appendix WLD

4.5 Qualifying Existing Special Process Auditors:

Auditors who are:

- Qualified for special process auditing under the requirements established by NUCAP Organization prior to its application for NUCAP accreditation and:
- Are performing internal process audits within their organization for a minimum of one year at the time of the initial NUCAP review for applicable process.

May be qualified for each special process category in one of the following ways:

- 1) Recognition of Industry Peers as a subject matter expert by:
 - a) Active participation in the applicable Nadcap Task Group
 - b) Recognition as a subject matter expert by the applicant's NUCAP Review Team
- 2) Existing Special Process Auditors not participating in a Nadcap Task Group
 - a) Passing a subject matter exam (Content developed by the NUCAP Organization or by utilizing existing Nadcap developed exams)
 - b) Nadcap developed training on the Nadcap Checklist given by NUCAP Organization or by PRI

NOTE: For NDT, qualification to a minimum of Level II, Auditor, or Level III in accordance with NAS-410 or equivalent is required.

4.6 Training

4.6.1 All NUCAP auditors shall be trained on the applicable Nadcap checklists.

4.6.2 Training shall be given to each Auditor on an annual basis. The training shall periodically include an exchange of lessons learned, checklist review/updates and discussion of audit results and trends.

5. DOCUMENTATION

Records of auditor qualifications, examinations, training, approvals and activity and performance shall be maintained, in accordance with internal record retention requirements.

Audit reports submitted by each auditor shall be kept on file and be available for review by customers, regulatory agencies, and approved third parties.

5.1 The NUCAP Organization shall maintain records

Records shall be maintained in a manner to prevent damage, loss, or deterioration, and shall be identifiable to facilitate retrieval.

Records for audit reports, checklists, nonconformance reports, corrective action responses, and deviations shall be retained for a minimum of 5 years. Records of auditor training, examination and other qualification requirements shall be maintained while the auditor's qualification is in effect, plus three years thereafter.

APPENDIX CP: GUIDELINES FOR SELECTION OF AUDITORS OF CHEMICAL PROCESSING

Criteria will be in accordance with NIP 6-01 Appendix CP Guidelines for Selection of Auditors of Chemical Processing with the following exceptions:

- Where Task Group/Staff Engineer review and approval are required, the review and approval shall be completed by the NUCAP organization.
- Where examinations are required, the NUCAP organization shall develop an exam equivalent to exams utilized by Nadcap or utilize the Nadcap developed exams.

APPENDIX CT: GUIDELINES FOR SELECTION OF AUDITORS OF COATINGS

Criteria will be in accordance with NIP 6-01 Appendix CT Guidelines for Selection of Auditors of Coatings with the following exception:

- Where Task Group/Staff Engineer review and approval are required, the review and approval shall be completed by the NUCAP organization.

APPENDIX COMP: GUIDELINES FOR SELECTION OF AUDITORS OF COMPOSITES

Criteria will be in accordance with NIP 6-01 Appendix COMP Guidelines for Selection of Auditors of Composites with the following exception:

- Where Task Group/Staff Engineer review and approval are required, the review and approval shall be completed by the NUCAP organization.

APPENDIX HT: GUIDELINES FOR SELECTION OF AUDITORS OF HEAT TREATING

Criteria will be in accordance with NIP 6-01 Appendix HT Guidelines for Selection of Auditors of Heat Treating with the following exceptions:

- Where Task Group/Staff Engineer review and approval are required, the review and approval shall be completed by the NUCAP organization.
- Where examinations are required, the NUCAP organization shall develop an exam equivalent to exams utilized by Nadcap or utilize the Nadcap developed exams.

APPENDIX MTL: GUIDELINES FOR SELECTION OF AUDITORS OF MATERIALS TESTING LABORATORIES

Criteria will be in accordance with NIP 6-01 Appendix MTL Guidelines for Selection of Auditors of Materials Testing Laboratories with the following exception:

- Where Task Group/Staff Engineer review and approval are required, the review and approval shall be completed by the NUCAP organization.

APPENDIX NMSE: GUIDELINES FOR SELECTION OF AUDITORS OF NONCONVENTIONAL MACHINING AND SURFACE ENHANCEMENT

Criteria will be in accordance with NIP 6-01 Appendix NMSE Guidelines for Selection of Auditors of Nonconventional Machining and Surface Enhancement with the following exception:

- Where Task Group/Staff Engineer review and approval are required, the review and approval shall be completed by the NUCAP organization.

APPENDIX NDT: GUIDELINES FOR SELECTION OF AUDITORS OF NONDESTRUCTIVE TESTING LABORATORIES

Criteria will be in accordance with NIP 6-01 Appendix NDT Guidelines for Selection of Auditors of Nondestructive Testing Laboratories with the following exceptions:

- Where Task Group/Staff Engineer review and approval are required, the review and approval shall be completed by the NUCAP organization.
- Where examinations are required, the NUCAP organization shall develop an exam equivalent to exams utilized by Nadcap or utilize the Nadcap developed exams.

APPENDIX WLD: GUIDELINES FOR SELECTION FOR AUDITORS OF WELDING

Criteria will be in accordance with NIP 6-01 Appendix WLD Guidelines for Selection of Auditors of Welding with the following exceptions:

- Where Task Group/Staff Engineer review and approval are required, the review and approval shall be completed by the NUCAP organization.
- Where examinations are required, the NUCAP organization shall develop an exam equivalent to exams utilized by Nadcap or utilize the Nadcap developed exams.

Document Revision History:

29-JUNE-09	REV B. General Re-Write of entire document. Removed the specific commodity Auditor qualifications and referenced the applicable Nadcap NIP 6-01 Appendixes.