



Office of Environmental Management

Administrative Procedure

Qualification of Personnel

AP-2.1Q, Revision 1

Effective Date: 12/14/2012

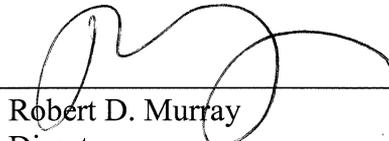
Preparer:



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11/20/2012
Date

Approved:



Robert D. Murray
Director
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11-20-12
Date

Concurrence:



Matthew B. Moury
Deputy Assistant Secretary
Safety, Security, and Quality Programs

11/20/12
Date

1.0 PURPOSE

The purpose of this procedure is to establish responsibilities and processes for the indoctrination, training, and qualification of personnel involved in the High-Level Waste (HLW) and Used Nuclear Fuel (UNF) Oversight Program. This procedure also establishes processes for maintaining Audit Team Leader (ATL) proficiency.

2.0 SCOPE

The scope of this procedure is to qualify personnel to conduct activities associated with the HLW and UNF Oversight Program. This procedure can also be used by other procedures to qualify other roles (e.g., the Quality Assurance Representative specified in AP-16.1Q, *Corrective Action*) if those roles are compatible.

3.0 APPLICABILITY

This procedure applies to Environmental Management (EM) personnel and contractors that participate in activities associated with the HLW and UNF Oversight Program.

4.0 REQUIREMENTS and REFERENCES

4.1 Requirements

4.1.1 *Quality Assurance Requirements and Description (QARD)*, DOE/RW-0333P, Revision 20

4.1.2 EM-QA-002, *Quality Assurance Program Plan (QAPP)*

4.2 References

4.2.1 AP-16.1Q, *Corrective Action*

4.2.2 AP-17.1Q, *Quality Assurance Records*

4.2.3 AP-18.1Q, *Audits*

5.0 DEFINITIONS and ACRONYMS

N/A

6.0 RESPONSIBILITIES

- 6.1 Deputy Assistant Secretary for Safety, Security, and Quality Programs
 - 6.1.1 Certifies the ATL qualifications based on the documented evaluation per this procedure and the recommendation from the Assistant Director of the EM Consolidated Business Center (EMCBC) Office of Technical Support and Asset Management.
 - 6.1.2 Approves the maintenance of proficiency for the ATL on an annual basis, based on the documented evaluation per this procedure and the recommendation from the Assistant Director for the EMCBC Office of Technical Support and Asset Management.
- 6.2 Director, Office of Standards and Quality Assurance
 - 6.2.1 Based on documented evaluation per this procedure, approves the QARD Compatible Qualification Record.
- 6.3 QA Lead for the HLW and UNF Oversight Program
 - 6.3.1 Provides prospective ATLs with the form and criteria to obtain certification in accordance with this procedure.
 - 6.3.2 Determines any necessary additional training or orientation for prospective Auditors/Technical Specialists commensurate with the scope, complexity, or special nature of the activities to be audited.
 - 6.3.3 Provides prospective Auditors/Technical Specialists with the forms and criteria to obtain qualification in accordance with this procedure.
 - 6.3.4 Evaluates the QARD Compatible Qualification Record.
 - 6.3.5 Coordinates with the EMCBC Coordinator to capture the records to be filed by this procedure in accordance with AP-17.1Q, *Quality Assurance Records*.
- 6.4 ATL
 - 6.4.1 Assigns audit functions to auditors and technical specialists as necessary to perform site specific audits or surveillances.
 - 6.4.2 Assigns required reading and other pre-audit activities to auditors and technical specialists for site specific requirements.
- 6.5 EMCBC Coordinator, Office of Technical Support and Asset Management
 - 6.5.1 Coordinates with the QA Lead to support the HLW and UNF Oversight Program.
 - 6.5.2 Provides annual maintenance of proficiency notifications to ATLs.

- 6.5.3 Maintains records related to the certification and qualification of ATLs. Maintains records regarding ATL maintenance of proficiency.
- 6.5.4 Maintains records related to the qualification of auditors and technical specialists.
- 6.6 Assistant Director, Office of Technical Support and Asset Management
 - 6.6.1 Reviews and recommends to the Deputy Assistant Secretary approval of the certification of ATLs.
 - 6.6.2 Reviews and provides recommendation to the Deputy Assistant Secretary regarding ATL maintenance of proficiency.

7.0 GENERAL INFORMATION

Not Applicable

8.0 PROCEDURE

8.1 Qualification of ATLs

- 8.1.1 The QA Lead shall provide the prospective ATL with Form 2.1-1, QARD Compatible Auditor Team Leader Qualification Record.
- 8.1.2 The prospective ATL completes Form 2.1-1 including obtaining copies of objective evidence of relevant experience and training and provides the form to the EMCBC Coordinator.
- 8.1.3 The EMCBC Coordinator evaluates Form 2.1-1 to verify that the prospective ATL meets the criteria of Attachment A.
- 8.1.4 The EMCBC Coordinator forwards the completed Form 2.1-1 to the Assistant Director.
- 8.1.5 The Assistant Director reviews the completed Form 2.1-1 and, if satisfactory, forwards it to the Deputy Assistant Secretary along with a letter of recommendation.
- 8.1.6 The Deputy Assistant Secretary reviews the completed Form 2.1-1 and the letter of recommendation and, if satisfactory, certifies the prospective ATL by signing the certification block of Form 2.1-1.
- 8.1.7 The Deputy Assistant Secretary forwards the certified Form 2.1-1 and the letter of recommendation to the QA Lead.
- 8.1.8 The QA Lead provides the certified Form 2.1-1 and the letter of recommendation to the EMCBC Coordinator to be filed in accordance with AP-17.1Q, *Quality Assurance Records*.

8.2 Maintaining ATL Proficiency

- 8.2.1 The EMCBC Coordinator, on an annual basis, provides each QARD-certified ATL with Form 2.1-2, QARD Compatible Audit Team Leader Maintenance of Proficiency Record, for completion.
- 8.2.2 The ATL completes Form 2.1-2 and provides it to the EMCBC Coordinator. If the basis for completion of Form 2.1-2 includes activities outside the scope of EM-QA-002 (e.g., taking NQA-1 lead auditor training), include copies of the objective evidence for that participation in that activity with the completed Form 2.1-2 to the EMCBC Coordinator.
- 8.2.3 The EMCBC Coordinator evaluates the completed Form 2.1-2 to verify that the prospective ATL meets the criteria of Attachment A.
- 8.2.4 The EMCBC Coordinator forwards the completed Form 2.1-2 to the Assistant Director.
- 8.2.5 The Assistant Director reviews the completed Form 2.1-2 and if satisfactory forwards it to the Deputy Assistant Secretary along with a letter of recommendation.
- 8.2.6 The Deputy Assistant Secretary reviews the completed Form 2.1-2 and the letter of recommendation and if satisfactory approves the maintenance of proficiency of the ATL by signing the approval block of Form 2.1-2.
- 8.2.7 The Deputy Assistant Secretary forwards the approved Form 2.1-2 and the letter of recommendation to the QA Lead.
- 8.2.8 The QA Lead provides the approved Form 2.1-2 and the letter of recommendation to the EMCBC Coordinator to be filed in accordance with AP-17.1Q, *Quality Assurance Records*.

8.3 Qualification of Auditors/Technical Specialists

- 8.3.1 If training or orientation is required for the prospective Auditors or Technical Specialists in addition to what is specified in Attachment B or C respectively, the QA Lead documents that on Form 2.1-3, QARD Compatible Qualification Record.
- 8.3.2 The QA Lead shall provide prospective Auditors/Technical Specialists with Form 2.1-3 for completion.
- 8.3.3 The prospective Auditors/Technical Specialist obtains copies of objective evidence of relevant experience and training, completes Form 2.1-3 and provides Form 2.1-3 and copies of the objective evidence to the EMCBC Coordinator.
- 8.3.4 The EMCBC Coordinator ensures that the prospective Auditor or Technical Specialist meets the criteria of Attachment B or C respectively as documented on Form 2.1-3.

- 8.3.5 If satisfactory, the EMCBC Coordinator forwards the completed Form 2.1-3 to the QA Lead.
- 8.3.6 The QA Lead evaluates and signs Form 2.1-3 then provides Form 2.1-3 to the Director for approval.
- 8.3.7 The Director approves the Form 2.1-3 and forwards it to the EMCBC Coordinator to be filed in accordance with AP-17.1Q, *Quality Assurance Records*.
- 8.3.8 The qualification of the Auditor or Technical Specialist will remain valid for three years after the date of the Director's signature from step 8.3.7.

8.4 Acceptance of Audit Team Members

- 8.4.1 The ATL, prior to the start of each HLW or UNF audit, initiates Form 2.1-4 for each Auditor or Technical Specialist on the audit team. The ATL assigns required reading that is relevant for specific audit (e.g., Site Specific procedures and QA plans, scope of work documents specific to the audit, etc.)
- 8.4.2 Each assigned Auditor or Technical Specialist reviews the audit assignments, completes the required reading and signs Form 2.1-4.
- 8.4.3 The ATL reviews and accepts each Form 2.1-4 prior to the start of the audit.
- 8.4.4 The ATL includes Form 2.1-4 in the records package with the final audit report.

9.0 RECORDS MAINTENANCE

- 9.1 The following forms (Section 10) shown below, generated through implementation of this procedure, shall be prepared and maintained in accordance with AP-17.1Q, *Quality Assurance Records*. Each form is considered a separate record with the exception of Form 2.1-4 Audit Team Member Record, which becomes part of each audit report records package.

- 9.1.1 The following are considered Lifetime QA Records:

- 9.1.1.1 Form 2.1-1, QARD Compatible Audit Team Leader Qualification Record
- 9.1.1.2 Form 2.1-2, QARD Compatible Audit Team Leader Maintenance of Proficiency Record
- 9.1.1.3 Form 2.1-3, QARD Compatible Qualification Record
- 9.1.1.4 Form 2.1-4, Audit Team Member Record

9.1.2 The following are considered Nonpermanent QA Records:

- 9.1.2.1 Emails associated with providing objective evidence regarding required reading/orientation
- 9.1.2.2 Professional Resumes associated with providing objective evidence of ATL or auditor qualifications
- 9.1.2.3 Certificates of Training associated with providing objective evidence of training classes.

10.0 FORMS USED

Form 2.1-1, QARD Compatible Audit Team Leader Qualification Record

Form 2.1-2, QARD Compatible Audit Team Leader Maintenance of Proficiency Record

Form 2.1-3, QARD Compatible Qualification Record

Form 2.1-4, Audit Team Member Record

11.0 ATTACHMENTS

Attachment A – Requirements for QARD Compatible Qualification of Audit Team Leaders

Attachment B – Requirements for QARD Compatible Qualification of Auditors

Attachment C – Basis for Selecting Technical Specialists

Attachment A	
Requirements for QARD Compatible Qualification of Audit Team Leaders	
Education	<p>A maximum of 4 credits for education levels may be granted based on the following conditions:</p> <ul style="list-style-type: none"> • Associate degree from an accredited institution: score 1 credit or, if the degree is in engineering, physical sciences, mathematics, or quality assurance, score 2 credits; or • A bachelor's degree from an accredited institution: score 2 credits or, if the degree is in engineering, physical sciences, mathematics, or quality assurance, score 3 credits; in addition, score 1 credit for a master's degree in engineering, physical sciences, business management, or quality assurance from an accredited institution. <p>Objective evidence to be provided:</p> <ul style="list-style-type: none"> • Professional resume of the prospective ATL that lists the relevant education.
Experience	<p>A maximum of 9 credits for professional experience may be granted based on the following conditions:</p> <ul style="list-style-type: none"> • Technical experience in engineering, manufacturing, construction, operation, or maintenance: score 1 credit for each full year with a maximum of 5 credits for this aspect of experience. • If 2 years of this experience have been in the nuclear field, score 1 additional credit; or • If 2 years of this experience have been in quality assurance, score 2 additional credits; or • If 2 years of this experience have been in auditing, score 3 additional credits; or • If 2 years of this experience have been in nuclear quality assurance, score 3 additional credits; or • If 2 years of this experience have been in nuclear quality assurance auditing, score 4 additional credits. <p>Objective evidence to be provided:</p> <ul style="list-style-type: none"> • Professional resume of the prospective ATL that lists the relevant work experience.
Credentials of Professional Competence	<p>A maximum of two credits may be allocated for certifications of competency in engineering, science, or QA specialties issued and approved by a state agency or national professional or technical society.</p> <p>Objective evidence to be provided:</p> <ul style="list-style-type: none"> • Photocopy of the credential of Professional Competence
Rights of Management	<p>When determined appropriate, the certifying organization may grant up to two credits for other performance factors applicable to auditing that are not explicitly called out elsewhere in this procedure. These factors may include but are not limited to leadership, sound judgment, maturity, analytical ability, tenacity, past performance, and quality assurance training courses.</p>
Audit Communication Skills	<p>In judgment of the employer organization, the prospective ATL demonstrates effective oral and written communication skills.</p> <p>Objective evidence to be provided:</p> <ul style="list-style-type: none"> • Email from the prospective ATL's supervisor attesting to their audit communication skills.
Audit Training	<p>Classroom training is used in conjunction with and may be substituted for on-the job training. Classroom training objectives include:</p> <ul style="list-style-type: none"> • Knowledge and understanding of the QARD and other program-related procedures, codes, standards (e.g., NQA-1), regulations, and regulatory guides. • The general structure of QA programs as a whole and the specific elements of the QARD applicable. • Auditing techniques of examining, questioning, evaluating, and reporting. Methods of identifying, following up on, and closing corrective action items. • Audit planning in functional areas (such as scientific investigation, design, purchasing, construction, fabrication, handling, shipping storage, cleaning, inspection, testing statistics nondestructive examination, maintenance, repair, operation, modification, and safety) of nuclear facilities. <p>Optional Proficiency Training: Other training courses related to QA specialties, Root Cause Analysis, or principles of auditing may be taken into consideration.</p> <p>On-The Job Training: On-the-job training is accomplished through participation in QA audits under the supervision of an ATL.</p>
Audit Participation	<p>The prospective ATL certification shall participate in a minimum of 5 quality assurance audits within in a period of time not to exceed 3 years prior to the date of certification, one audit of which shall be a QARD audit within the year prior to certification.</p> <p>At the discretion of the QA Lead, the prospective ATL may be required to lead an audit as an ATL In Training (ATLIT) under the direct supervision of a certified ATL. In those instances, the supervising ATL will be the ATL of record for the audit report with the ATLIT identified as such in the audit report. After the audit, the ATL shall email the QA Lead with a summary and recommendation as to whether the ATLIT is ready for certification as an ATL.</p>
Basis of Certification	<p>The combination of credits allocated for Education, Experience, Credentials of Professional Competence, and Rights of Management must total a minimum of 10 credits. The achievement of 10 credits considered in conjunction with audit communication skills, audit training, examination results, and audit participation form the basis for certification.</p>
Maintenance of Proficiency	<p>ATLs shall maintain their proficiency through one or a combination of the following:</p> <ul style="list-style-type: none"> • Regular and active participation in the audit process. • Review and study of codes, standards, implementing documents, instructions, and other documents related to QA program and program auditing. • Participation in training programs. <p>Management of the auditing organization shall document a proficiency evaluation of ATLs annually. Based on the evaluation, management may choose to extend the qualification, require retraining, or require requalification.</p>

**Attachment B
Requirements for QARD Compatible Qualification of Auditors**

<p>Audit Related Training</p>	<p>Personnel selected for QA auditing assignments shall have training in the audit process (e.g., NQA-1 Lead Auditor Training, American Society of Quality Auditing, Office of Civilian Radioactive Waste Management Lead Auditor Training, etc.). The training shall cover the audit process as it relates to the planning, performing, reporting, and follow-up action involved in conducting audits. In lieu of formal training, on-the-job training could be used as long as it consists of guidance and counseling under the direct supervision of an ATL. For instance, the prospective auditor can either observe an audit team or serve as a Technical Specialist on an audit.</p> <p>Objective evidence to be provided:</p> <ul style="list-style-type: none"> • Certificate of completion for formal training • Email from the ATL attesting to the on-the-job training for the prospective auditor. The email shall specify the audit that the prospective auditor received the on-the-job-training as well as cover the required elements for the on-the-job training (see above).
<p>Required Reading/Orientation</p>	<p>Required reading for auditor qualification consists, as a minimum, EM-QA-002, AP-16.1Q, and AP-17.1Q. The QA Lead should assign additional required reading or orientation as necessary (e.g., AP-2.2Q, or AP-18.1Q, QARD.). In addition, the QA Lead may assign required reading informing the potential auditor on how to conduct audits.</p> <p>Objective evidence to be provided:</p> <ul style="list-style-type: none"> • Email from the prospective auditor attesting to completion of the required reading/orientation.
<p>Work Experience</p>	<p>Personnel selected for QA auditing assignments shall have work experience commensurate with the scope, complexity, or special nature of the activities to be audited.</p> <p>Objective evidence to be provided:</p> <ul style="list-style-type: none"> • Professional resume of the prospective auditor that lists the relevant work experience.
<p>Post Secondary Education</p>	<p>A post-secondary education is optional. However, the post-secondary education should be commensurate with the scope, complexity, or special nature of the activities to be audited.</p> <p>Objective evidence to be provided:</p> <ul style="list-style-type: none"> • Professional resume of the prospective auditor that lists the relevant post secondary education.
<p>Basis of Qualification Approval</p>	<p>The basis for qualification approval is formed by the objective evidence of the audit related training, required reading/orientation, and work experience</p>

Attachment C Requirements for Technical Specialists	
<p>Audit Related Training (optional)</p>	<p>Personnel selected for technical specialists assignments should have training in the audit process (e.g., NQA-1 Lead Auditor Training, American Society of Quality Auditing, Office of Civilian Radioactive Waste Management Lead Auditor Training, etc)</p> <p>Objective evidence to be provided (if this option is used):</p> <ul style="list-style-type: none"> • Certificate of completion for formal training. <p>If the prospective Technical Specialist has received no training, the prospective Technical Specialist shall be paired up with a QARD Compatible Qualified Auditor.</p>
<p>Required Reading/Orientation</p>	<p>Required reading for qualification of technical specialists consists, as a minimum, EM-QA-002, AP-2.2Q, AP-16.1Q, AP-17.1Q, and AP-18.1Q. The QA Lead should assign additional required reading or orientation as necessary.</p> <p>Objective evidence to be provided:</p> <ul style="list-style-type: none"> • Email from the prospective technical specialist attesting to completion of the required reading/orientation.
<p>Work Experience</p>	<p>Work experience shall be in the discipline that is relevant to the scope, complexity, or special nature of the work being audited.</p> <p>Objective evidence to be provided:</p> <ul style="list-style-type: none"> • Professional resume of the prospective technical specialist that lists the relevant work experience
<p>Post Secondary Education</p>	<p>Post-secondary education shall be the discipline relevant to the scope, complexity, or special nature of work being audited.</p> <p>Objective evidence to be provided:</p> <ul style="list-style-type: none"> • Professional resume of the prospective technical specialist that lists the relevant post secondary education.
<p>Basis of Qualification Approval</p>	<p>The basis for qualification approval is formed by the objective evidence of the audit related training, required reading/orientation, and work experience</p>

**FORM 2.1-1
QARD COMPATIBLE AUDIT TEAM LEADER QUALIFICATION RECORD**

Name:

Current Employer:

QUALIFICATION POINT REQUIREMENTS

4 Credits Max

Education Level	University	Degree	Year
<i>Undergraduate</i>			
<i>Graduate</i>			

EXPERIENCE

9 Credits Max

Employer	Years	Technical	Nuclear Industry	QA	Auditing	Nuclear QA	Nuclear QA Auditing

CREDENTIALS OF PROFESSIONAL COMPETENCE

2 Credits Max

Discipline	Certificate	Certifying Organization	Year
<i>Engineering</i>			
<i>Science</i>			
<i>Quality Assurance</i>			

RIGHTS OF MANAGEMENT

2 Credits Max

Justification:	
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Total Credits:

EMCBC COORDINATOR EVALUATION

Printed Name	Signature	Date
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AUDIT COMMUNICATION SKILLS

As attested by:	Employer	Date
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AUDIT TRAINING

Course Title or Topic (For On-The-Job training, specify activity)	Year Taken	Examination

AUDIT PARTICIPATION

Location	Audit	Date

QUALIFICATION CERTIFIED BY:

Printed Name	Signature	Date Certified
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Form 2.1-1 – GENERAL INSTRUCTIONS

Based on the requirements listed in AP-2.1Q, *Qualification of Personnel*, Attachment A, document the following information on Form 2.1-1, QARD COMPATIBLE AUDIT TEAM LEADER QUALIFICATION RECORD:

Name

Full name of the prospective ATL being certified.

Current Employer

The DOE Office, Program, or Government Contractor that currently employs the prospective ATL.

Qualification Point Requirements**Education Level (4 Credits Maximum)**

- (a) Associate degree from an accredited institution: score 1 credit or, if the degree is in engineering, physical sciences, mathematics, or quality assurance, score 2 credits; or
- (b) A bachelor's degree from an accredited institution: score 2 credits or, if the degree is in engineering, physical sciences, mathematics, or quality assurance, score 3 credits; in addition, score 1 credit for a master's degree in engineering, physical sciences, business management, or quality assurance from an accredited institution.

Experience (9 Credits Maximum)

Technical experience in engineering, manufacturing, construction, operation, or maintenance: score 1 credit for each full year with a maximum of 5 credits for this aspect of experience.

- (a) If 2 years of this experience have been in the nuclear field, score 1 additional credit; or
- (b) If 2 years of this experience have been in quality assurance, score 2 additional credits; or
- (c) If 2 years of this experience have been in auditing, score 3 additional credits; or
- (d) If 2 years of this experience have been in nuclear quality assurance, score 3 additional credits; or
- (e) If 2 years of this experience have been in nuclear quality assurance auditing, score 4 additional credits.

Credentials of Professional Competence (2 Credits Maximum)

For certification of competency in engineering science, or quality assurance specialties issued and approved by a state agency or national professional or technical society; score 2 credits.

Rights of Management (2 Credits Maximum)

The ATL's employer may grant up to 2 credits for other performance factors applicable to auditing, which may not be explicitly called out in the instruction. Examples of these factors are leadership, sound judgment, maturity, analytical ability, tenacity, past performance, and quality assurance training courses.

Audit Communication Skills

This block indicates the name of the employer and the date of the email that attests to the audit communication skills of the prospective ATL.

Audit Training (optional)

This block lists the audit courses taken (e.g., NQA-1 Lead Auditor Training, American Society of Quality Auditing, Office of Civilian Radioactive Waste Management Lead Auditor Training, etc.), the dates the courses taken and if an examination was given, then the block shall indicate "Yes" or if no exam was given then the block shall indicate "N/A".

Audit Participation

These blocks shall list the location of the audit (e.g., Richland, WA) the QARD audit number and project or facility (e.g., 12-DOE-AU-003, Defense Waste Processing Facility) and the dates that the QARD audit occurred.

Qualification Certified By

The Deputy Assistant Secretary shall sign and date this block certifying the prospective ATL qualifications to lead audits for the HLW and UNF Oversight Program.

**FORM 2.1-2
QARD COMPATIBLE AUDIT TEAM LEADER MAINTENANCE OF PROFICIENCY RECORD**

Name

Employer:

TRAINING, REVIEWS, OR STUDY ACTIVITIES

QARD AUDIT PARTICIPATION

Organization	Location	Audit Identifier	Date

MAINTENANCE OF PROFICIENCY APPROVED BY:

Printed Name

Signature

Date

Form 2.1-2 – GENERAL INSTRUCTIONS

Based on the requirements listed in AP-2.1Q, *Qualification of Personnel*, Attachment A, document the following information on Form 2.1-2 QARD COMPATIBLE AUDIT TEAM LEADER MAINTENANCE OF PROFICIENCY RECORD:

Name

Full name of the ATL whose certification is being maintained.

Current Employer

The DOE Office, Program, or Government Contractor that currently employs the ATL.

Training, Reviews, or Study Activities

ATLs shall maintain their proficiency by listing one or more of the following:

- a) participation in training program(s)
- b) review or study of codes, standards, procedures, instructions, and other documents related to quality assurance program and program auditing

QARD Audit Participation

In addition to training, reviews or study activities, the ATL can maintain their proficiency by participating on QARD audits within the annual timeframe of their certification period.

Maintenance of Proficiency Approved by

The Deputy Assistant Secretary signs the approval for the maintenance of proficiency for the ATL.

FORM 2.1-3 QARD COMPATIBLE QUALIFICATION RECORD		
<input type="checkbox"/> Auditor <input type="checkbox"/> Technical Specialist		
Name:		
Employer:		
AUDIT RELATED TRAINING		
REQUIRED READING/		
WORK EXPERIENCE		
POST-SECONDARY EDUCATION		
QUALIFICATION EVALUATED BY:		
Printed Name	Signature	Date
QUALIFICATION APPROVED BY:		
Printed Name	Signature	Date

Form 2.1-3 – GENERAL INSTRUCTIONS

Based on the requirements listed in either Attachment B or Attachment C of AP-2.1Q, *Qualification of Personnel*, document the following information on Form 2.1-3 QARD COMPATIBLE QUALIFICATION RECORD:

Checkboxes for Auditor or Technical Specialist

Check the box of which qualification requirements apply based on the role in the process for the HLW and UNF Oversight Program. If the auditor box is checked, then Attachment B applies. If the technical Specialist box is checked then Attachment C applies.

Name

Full name of either the auditor or the technical specialist being qualified.

Current Employer

The DOE Office, Program, or Government Contractor that currently employs the ATL.

Audit Related Training

This block lists the audit courses taken (e.g., NQA-1 Lead Auditor Training, American Society of Quality Auditing, Office of Civilian Radioactive Waste Management Lead Auditor Training, etc.), along with the dates the courses taken.

Required Reading/Orientation

If the QA Lead determines that required reading or orientation is necessary for auditor or technical specialist qualification, then this block shall indicate what reading or orientation the prospective auditor or technical specialist completed.

Work Experience

This block lists the relevant work experience that is related to the role of the prospective auditor or technical specialist for the HLW and UNF Oversight Program.

Post-Secondary Education

This block lists the post-secondary education that the prospective auditor or technical specialist has completed.

Qualification Evaluated by

The QA Lead signs this block indicating that the Qualification has been satisfactorily evaluated.

Qualification Approved by

The Director, Office of Standards and Quality Assurance signs this block indicating that the Qualification has been satisfactorily approved.

Form 2.1-4 – GENERAL INSTRUCTIONS

Based on the requirements listed in AP-2.1Q, *Qualification of Personnel*, Paragraph 8.4, document the following information on Form 2.1-4 AUDIT/SURVEILLANCE TEAM MEMBER RECORD

Audit/Surveillance Number

Indicate the number given to the particular audit or surveillance on the annual Audit and Surveillance Schedule for HLW and UNF Oversight Programs.

Name

Full name of the team member

Organization

The DOE organization or government contractor of the team member.

Email

The email address of the team member

Phone

The telephone number of the team member

Checkboxes for Auditor or Technical Specialist

Check the box for role the team member will function as during the audit or surveillance.

Assigned Function

Check the box for the area that the team member will review for the audit or surveillance.

Required Reading

List the documents that are required to be read by the team member before the audit or surveillance begins.

Auditor or Technical Specialist Acknowledgement of Completion of Required Reading

The auditor or technical specialist acknowledges completion of required reading.

Audit Team Leader Acceptance

The ATL accepts the completion by the auditor or technical specialist the required reading.

Form 5.1-1 – Record of Revision

DOCUMENT: AP-2.1Q, *Qualification of Personnel*

Revision Number	Description of Changes	Revision on Pages	Effective Date
0	Original	All	04/27/2011
1	General Revision	All	12/14/2012