



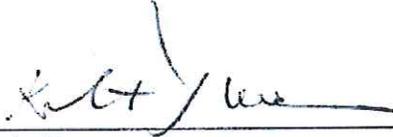
Environmental Management
Office of Standards and Quality Assurance

Quality Procedure

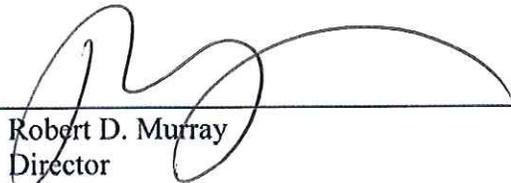
Subject Area: *Personnel Training and Qualification*

QP-2.1, Revision 0

Effective Date: 8/31/2015

Preparer: 
Robert A. Toro
Office of Standards and Quality Assurance

8/28/2015
Date

Approved: 
Robert D. Murray
Director
Office of Standards and Quality Assurance

8/31/2015
Date

1. PURPOSE

This procedure establishes the requirements for the training and qualification of personnel in the Office of Standards and Quality Assurance, and ensures that Office personnel are properly trained and qualified to correctly perform their assigned tasks.

2. SCOPE

The scope of this procedure provides guidance in implementing training and technical qualification requirements to Office of Standards and Quality Assurance employees in compliance with regulatory standards, DOE Orders, and the EM Quality Assurance Program.

3. APPLICABILITY

This procedure applies to EM Office of Standards and Quality Assurance personnel located at DOE Headquarters and in Field Offices.

4. REQUIREMENTS & REFERENCES

The most current version of the following requirements and references are applicable to this procedure.

Requirements:

- 4.1 ASME NQA-1-2008/2009a, *Quality Assurance Requirements for Nuclear Facility Applications*
- 4.2 DOE Order O 414.1D, *Quality Assurance (including Administrative Change 1)*
- 4.3 DOE Order O 360.1B-1, *Federal Employee Training*
- 4.4 DOE Order O 426.1, Change 1, *Federal Technical Capability*
- 4.5 EM-QA-001, *EM Quality Assurance Program*

References:

- 4.6 DOE-STD-1150-2002, *Quality Assurance Functional Area Qualification Standard*
- 4.7 DOE-STD-1172-2011, *Safety Software Quality Assurance Functional Area Qualification Standard*

5. DEFINITIONS

- 5.1. Competency - Those knowledge, skills, and abilities that an employee must possess before he or she may independently perform job-related duties and responsibilities. Each competency

requirement has a corresponding qualification standard developed to measure the level of the employee's performance.

- 5.2. Indoctrination – The activity of instructing personnel in the fundamentals necessary to understand job requirements and, to an extent, commensurate with the scope, complexity and nature of the activity; and the education, experience, and proficiency of the person.
- 5.3. Qualification - The knowledge and skills gained through education, training, and experience that, when measured against established qualification standards, qualify an individual to safely, effectively, and efficiently perform the required functions, duties, and responsibilities of their position.
- 5.4. Training – Planned activities, including internal or external classroom training, meetings, seminars, self-instruction, on-the-job training, and developmental assignments that are intended to make an individual qualified or proficient and are used to maintain or improve job-related knowledge, skills, or abilities.

6. RESPONSIBILITIES

6.1 Deputy Assistant Secretary (DAS) for Safety, Security and Quality Programs

- 6.1.1 Direct the Office of Standards and Quality Assurance to implement this procedure in accordance with the Oversight Policy.

6.2 Director, Office of Standards and Quality Assurance

- 6.2.1 Responsible for the preparation, revision, and approval of this procedure.
- 6.2.2 Determine the training requirements for Office personnel to ensure that they are properly trained to accomplish their assigned tasks.
- 6.2.3 Provide the necessary resources to ensure that training requirements for the Office and its personnel are achieved, including approval of training budgets, approval for off-site training, and designation for specific developmental assignments.
- 6.2.4 Direct the development of Individual Development Plans (IDPs) and ensuring that personnel who report to the Office Director is indoctrinated and trained to the extent commensurate with the scope, complexity, and nature of the activity and the education, experience, and proficiency of its personnel.
- 6.2.3 Identify personnel and positions required to participate in the Technical Qualification Program (TQP).
- 6.2.4 Certify the Audit Team Lead (ATL) or Assessment Team Lead (ATL) qualifications based on the documented evaluation per this procedure. Approve the maintenance of proficiency for the ATL on an annual basis, based on the documented evaluation per this procedure.

6.3 EM Office of Standards and Quality Assurance Federal and Contractor Personnel

- 6.3.1 Responsible for completing training requirements prior to performing their assigned tasks.
- 6.3.2 Coordinates with the Office Director in developing IDPs, completing assigned training, and verifying that training is documented. Responsible for notifying the Office Director of training for which they are scheduled, for attending scheduled training, and for ensuring that completed training courses is documented. Responsible for satisfying the competencies contained in the applicable qualification standards assigned to them under the Technical Qualification Program.

Note: IDPs are not applicable to contractor personnel.

Note: Participation in the Technical Qualification Program is not applicable to contractor personnel.

- 6.3.3 For Office personnel conducting assessments and assigned as Lead Auditors or Assessment Team Leads, responsible for obtaining and maintaining the training necessary to assure their competence in auditing skills. Training is to be based upon management evaluation of the particular needs of each prospective Lead Auditor. Ensures that the audit or assessment team members are adequately trained prior to the conduct of the audit or assessment.

7. GENERAL INFORMATION

The success of any organization requires members of the organization to be competent in the work they perform. A generic Position Description (PD) is assigned to every Federal employee and establishes the process for determining competency requirements of personnel performing work. The expectation is that personnel are competent on the basis of appropriate education, training, skills, and experience. The PD is the official description of management's assignment of duties, responsibilities, and supervisory relationships to a position. It is issued by the Office of Personnel Management (OPM) to relate the grade level definitions to specific work situations and provide the basis for assigning each position the appropriate title, series, and grade. Competency is demonstrated before performance (e.g., OPM minimum qualification requirements) or within a specified timeframe after entering the position (e.g., Technical Qualification Program qualification normally within 18 months of entering the position for Federal employees).

Initial and continuing training is provided to its personnel to develop new skills, maintain or improve job performance, and enhance existing skills. Managers are responsible for ensuring personnel are fully qualified for their positions. Training identified by the Office Director or recommended by Office personnel is made available to improve knowledge or skills specific to the job and/or the organization. A lead auditor must demonstrate the capability of communicating effectively, both in writing and orally. These skills are attested to by the lead auditor's supervisor. Prospective lead auditors receive training to assure auditing competence including: acknowledgement and understanding of the EM Corporate QA Program, NQA-1-2008/2009a and other nuclear-related codes, standards and regulations and regulatory guides. Prospective lead auditors receive training to assure auditing competence including general structure of quality assurance programs as a whole and applicable elements as defined in NQA-1-2008/2009a requirements. Prospective lead auditors receive training to assure auditing competence including training on techniques of examining, questioning, evaluating, and reporting.

8. TRAINING AND QUALIFICATION OF PERSONNEL

8.1 Indoctrination and Training of Office Personnel

- 8.1.1 The Office personnel are indoctrinated in the following subjects as related to their particular function:
- Applicable codes, standards, QA Orders, and the EM Corporate Quality Assurance Program (EM-QA-001)
 - Office of Standards and Quality Assurance Quality Procedures
 - Job responsibilities and function

The Office personnel who perform activities affecting quality are responsible for ensuring indoctrination and training requirements have been satisfied before performing work.

- 8.1.2 Each Office personnel develops and updates their Individual Development Plan (IDP) in accordance with Section 3.1.1 of DOE Order O 360.1B, by accessing the DOE Employee Self Service (ESS) website. IDPs are developed upon coordination with the Office Director within sixty (60) days of an employee joining the Department or transferring to a new position. IDPs are reviewed and updated annually as notified by EM Human Capital organization.
- 8.1.3 The Office personnel requests work-related training based on the employee's IDP, or as recommended by the Office Director. The Office personnel submits the request to the Office Director for approval, or can submit a request by accessing the Employee Self Service (ESS) website.

Training may consist of, but is not limited to the following:

- Structured training presented by a subject matter expert, or similarly qualified individual sponsored by Environmental Management
- Training topics associated with work functions
- Required reading assignments
- On-the-job training

Once the training is complete, the Office personnel provides documentation of completion in the form of a certificate or an attendance sheet to the Office administrative person for integration in the person's training file in ESS or is placed automatically into the training file in ESS. It is the Office personnel's responsibility to ensure that documentation is included in the training file in ESS.

8.2 Technical Qualification Program

The Technical Qualification Program (TQP) is the process used to objectively determine that individuals performing activities related to the technical management, oversight or operation of nuclear facilities possess the necessary knowledge, skills, and abilities to perform their specific duties. Guidance is provided on the TQP section of the Employee Self-Service (ESS) website.

The Technical Qualification Program specifically applies to the Office of Standards and Quality Assurance personnel whose duties and responsibilities require them to provide assistance, guidance, direction, or oversight that could affect the safe operation of EM facilities and projects.

- 8.2.1 The Office Director designates the positions and/or individuals required to participate in the DOE Technical Qualification Program, and the functional area that applies to them.

Note: Personnel in the Office of Standards and Quality Assurance are responsible for the oversight of quality requirements governing EM defense nuclear facilities and projects are qualified in accordance with DOE-STD-1150-2002, *Quality Assurance Functional Area Qualification Standard*; and Office personnel responsible for oversight of safety software QA activities of EM defense nuclear facilities and projects are qualified in accordance with DOE-STD-1172-2011, *Safety Software Quality Assurance Functional Area Qualification Standard*. Qualifications and competency levels are maintained through continuing education, training etc. as required in the applicable standards.

- 8.2.2 The Office personnel in the Technical Qualification Program provide evidence of the applicable competencies contained in the general technical base qualification standard and the appropriate functional area qualification standard. Documentation of qualification requirements contains the following:
- general duties and responsibilities of the position
 - background and experience in terms of preferred education and experience
 - a list of technical competencies that define the level of expected performance, with supporting knowledge and/or skill statement provided as guidance to describe the intent of the competency statements.
- 8.2.3 The Office personnel update Technical Qualification Program Records as appropriate to reflect the learning activities required to maintain competencies. Required competencies may be added to the employee's IDP for tracking purposes.
- 8.2.4 Requalification is similar to the initial qualification process, but on a graded approach with emphasis on continuing training and Functional Area Qualification Standards (FAQS) changes. Guidance on the requalification process can be accessed in the TQP web page.
- 8.3 Lead Auditor Qualification and Maintenance of Proficiency
- 8.3.1 The Lead Auditor qualification process for the Office of Standards and Quality Assurance meets the latest version of the requirements of ASME NQA-1, *Quality Assurance Requirements for Nuclear Facility Applications*, as indicated in the EM Corporate QA Program. The requirements for Qualification of Audit Team Lead/Assessment Team Lead are defined in Attachment A of this procedure.
- 8.3.2 The prospective Lead Auditor (Audit Team Lead or Assessment Team Lead [ATL]) initiates, completes, and signs Form 2.1-1, Audit Team Lead/Assessment Team Lead Qualification Record, including documentation of auditing qualifications and attesting to the individual's capability to effectively lead audits. This is provided to the Office Director for approval.
- 8.3.3 The Office Director evaluates the completed Form 2.1-1 including supporting documentation attesting to the Lead Auditor qualification. If satisfactory, the Office Director signs and certifies Form 2.1-1 as being qualified to lead EM-QA-001-related audits or assessments along with a letter of recommendation.
- 8.3.4 The ATL provides the certified Form 2.1-1 and the letter of recommendation to the Office Records Coordinator to be filed in accordance with QP-4.3, *Records Management*.

- 8.3.5 The certified Lead Auditor (Audit Team Lead or Assessment Team Lead) maintains proficiency through one or more of the following:
- regular and active participation in the audit or assessment process
 - review and study of codes, standards, procedures, instructions, and other documents related to QA Program and program auditing
 - participation in a training program(s).

On an annual basis, each Lead Auditor provides documentation attesting to maintenance of Lead Auditor proficiency to the Office Director for evaluation.

The ATL completes Form 2.1-2, Audit Team Leader/Assessment Team Lead Maintenance of Proficiency Record, and provides it to the Office Director for evaluation. Objective evidence supporting proficiency are provided with the completed Form 2.1-2.

- 8.3.6 The Office Director reviews for acceptability documentation submitted by each Lead Auditor as evidence of maintaining Lead Auditor proficiency and recommends whether to extend the qualification, require retraining, or require requalification. Results of this evaluation, including the basis for re-certification, are provided to the ATL.
- 8.3.7 The ATL provides the certified Form 2.1-2 and the letter of recommendation to the Office Records Coordinator to be filed in accordance with QP-4.3, *Records Management*.
- 8.3.8 Lead Auditors who fail to maintain their proficiency for a period of two years or more require requalification in accordance with the latest version of ASME NQA-1 requirements.

8.4 Qualification of Auditors and Subject Matter Experts (SMEs)

- 8.4.1 The Auditor and SME qualification process for the Office of Standards and Quality Assurance meets the latest version of the requirements of ASME NQA-1, *Quality Assurance Requirements for Nuclear Facility Applications*, as indicated in the EM Corporate QA Program. The requirements for Qualification of Auditors and SMEs are defined in Attachment B of this procedure.
- 8.4.2 If training or orientation is required for the prospective Auditor or SME in an EM-QA-001 related audit or assessment, the assigned ATL documents that on Form 2.1-3, Auditor or Subject Matter Expert Qualification Record.
- 8.4.3 The prospective Auditor/SME obtains copies of objective evidence of relevant experience and training, completes and provides Form 2.1-3, including copies of the objective evidence to the assigned ATL.
- 8.4.4 The ATL evaluates the information provided in Section 8.4.3 and, if satisfactory, signs Form 2.1-3, and forwards the complete package to the Office Records Coordinator to be filed in accordance with in accordance with QP-4.3, *Records Management*.

Note: Requalification of auditors or SMEs is performed every 3 years. Once a prospective auditor or SME has been qualified, the auditor or SME does not need to be re-qualified whenever participating in an Office audit or assessment until after three (3) years from the year of qualification.

9. RECORDS

Records listed below are collected as individual records or included in a records package, as specified. Final disposition of QA records is based on the EM Records Disposition process.

9.1. Lifetime QA Record:

- Technical Qualification Program records (accessible in the TQP web page)
- Form 2.1-1, Audit Team Lead/Assessment Team Lead Qualification Record
- Form 2.1-2, Audit Team Lead/Assessment Team Lead Maintenance of Proficiency Record
- Form 2.1-3, Auditor/Subject Matter Expert Qualification Record

9.2. Nonpermanent Records:

- Individual Development Plan
- Emails associated with providing objective evidence supporting indoctrination and training
- Professional Resumes associated with providing objective evidence of ATL or auditor qualifications
- Certificates of Training associated with providing objective evidence of training classes (also accessible in the ESS web site)

9.3. Non-QA Records: None

10. FORMS

- Form 2.1-1, Audit Team Lead/Assessment Team Lead Qualification Record
- Form 2.1-2, Audit Team Lead/Assessment Team Lead Maintenance of Proficiency Record
- Form 2.1-3, Auditor/Subject Matter Expert Qualification Record

11. ATTACHMENTS

- Attachment A, Requirements for Qualification of Audit Team Lead/Assessment Team Lead
- Attachment B, Requirements for Qualification of Auditors/Subject Matter Experts

RECORD OF REVISION

DOCUMENT: QP-2.1, Revision 0 Subject Area: *Personnel Training and Qualification*

Revision Number	Description of Changes	Revision on Pages	Effective Date
0	Original	All	8/31/2015

Attachment A
Requirements for Qualification of Audit Team Lead/Assessment Team Lead (ATL)

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">• <input type="checkbox"/> Professional resume of the prospective ATL that lists the relevant education. <hr/>
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. <hr/>
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: Photocopy of the credential of Professional Competence</p> <hr/>
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 course.</p> <hr/>
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: Email from the prospective ATL's supervisor attesting to their audit communication skills.</p> <hr/>
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 EM-QA-001 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 EM-QA-001 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.• Optional Proficiency Training: Other training courses related to QA specialties, Root Cause Analysis, or principles of auditing may be taken into consideration.• On-The Job Training: On-the-job training is accomplished through participation in QA audits under the supervision of an ATL.

Audit Participation	<p>-----</p> <p>The prospective ATL certification participates 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 an EM-QA-001 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 provides a recommendation as to whether the ATLIT is ready for certification as an ATL.</p> <p>-----</p>
Basis of Certification	<p>-----</p> <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> <p>-----</p>
Maintenance of Proficiency	<p>-----</p> <p>ATLs 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. <input type="checkbox"/> 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>-----</p>

Attachment B

Requirements for Qualification of Auditors/Subject Matter Experts

Audit Related Training:

Personnel selected for QA auditing assignments shall have training in the audit process (e.g., EM-QA-001 Training, NQA-1 Lead Auditor Training, American Society of Quality Auditing). 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 Subject Matter Expert (SME) on an audit/assessment.

Objective evidence to be provided:

- Certificate of completion for formal training
- Email from the ATL attesting to the on-the-job training for the prospective auditor/SME. The email shall specify the audit that the prospective auditor/SME received the on-the-job-training as well as cover the required elements for the on-the-job training (see above).

Required Reading/Orientation:

Required reading for auditor qualification consists, as a minimum, EM-QA-001, QP-10.1, and QP-4.3. The assigned ATL may assign additional required reading or orientation as necessary. In addition, the ATL may assign required reading informing the potential auditor on how to conduct audits.

Objective evidence to be provided:

- Email from the prospective auditor attesting to completion of the required reading/orientation.

Work Experience:

Personnel selected for QA auditing assignments shall have work experience commensurate with the scope, complexity, or special nature of the activities to be audited.

Objective evidence to be provided:

- Professional resume of the prospective auditor/SME that lists the relevant work experience.

Post-Secondary Education:

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.

Objective evidence to be provided:

- Professional resume of the prospective auditor/SME that lists the relevant post-secondary education.

Basis of Qualification Approval:

The basis for qualification approval is formed by the objective evidence of the audit/assessment-related training, required reading/orientation, and work experience.

FORM 2.1-1, AUDIT TEAM LEAD/ASSESSMENT TEAM LEAD QUALIFICATION RECORD

FORM 2.1-1 AUDIT TEAM LEAD/ASSESSMENT TEAM LEAD QUALIFICATION RECORD									
Name:									
Current Employer:									
QUALIFICATION POINT REQUIREMENTS									4 Credits Max
Education Level	University	Degree				Year			
Undergraduate									
Graduate									
EXPERIENCE								9 Credits Max	
Employer	Years	Technical	Nuclear Industry	QA	Auditing	Nuclear QA	Nuclear QA Auditing		
CREDENTIALS OF PROFESSIONAL COMPETENCE								2 Credits Max	
Discipline	Year	Certificate	Certifying Organization				Year		
Engineering									
Science									
Quality Assurance									
RIGHTS OF MANAGEMENT								2 Credits Max	
Justification:									
								Total Credits:	
AUDIT COMMUNICATION SKILLS									
		Employer					Date		
As attested by:									
AUDIT TRAINING									
Course Title or Topic (For On-The-Job training, specify activity)						Year Taken	Examination		
AUDIT PARTICIPATION									
Location			Audit				Date		
QUALIFICATION EVALUATED AND CERTIFIED BY:									
Printed Name			Signature			Date Certified			

Form 2.1-1, Audit Team Lead/Assessment Team Lead (ATL) Qualification Record

GENERAL INSTRUCTIONS

Based on the requirements listed in Attachment A of QP-2.1, *Personnel Training and Qualification*, document the following information on Form 2.1-1, Audit Team Lead/Assessment Team Lead (ATL) Qualification Record:

Name (Full name of the prospective ATL being certified)

Current Employer (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/assessment courses taken (e.g., EM-QA-001 Training, NQA-1 Lead Auditor Training, American Society of Quality Auditing, etc.), the dates the courses taken and if an examination was given, then the block indicates "Yes" or if no exam was given then the block indicates "N/A".

Audit Participation

These blocks list the location of the audit/assessment (e.g., Idaho Falls, ID), the audit number and project/facility (e.g., EM-PA-15-08, Idaho Cleanup Project) and the dates that the audit/assessment occurred.

Qualification Evaluated and Certified By

The Office Director reviews documentation provided by the prospective ATL, signs and dates this block certifying the prospective ATL qualifications to lead audits for the Office of Standards and Quality Assurance oversight program.

FORM 2.1-2, AUDIT TEAM LEAD/ASSESSMENT TEAM LEAD MAINTENANCE OF PROFICIENCY RECORD

FORM 2.1-2 AUDIT TEAM LEAD/ASSESSMENT TEAM LEAD (ATL) MAINTENANCE OF PROFICIENCY RECORD			
Name:			
Employer:			
TRAINING, REVIEWS, OR STUDY ACTIVITIES			
AUDIT/ASSESSMENT PARTICIPATION			
Organization	Location	Audit Identifier	Date
MAINTENANCE OF PROFICIENCY APPROVED BY:			
Printed Name	Signature	Date	

**Form 2.1-2, Audit Team Lead/Assessment Team Lead (ATL) Maintenance of Proficiency
Record
GENERAL INSTRUCTIONS**

Based on the requirements listed in Attachment A of QP-2.1Q, *Qualification of Personnel*, document the following information on Form 2.1-2, Audit Team Lead/Assessment Team Lead (ATL) 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 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

Audit/Assessment Participation

In addition to training, reviews or study activities, the ATL can maintain their proficiency by participating on EM-QA-001-related audits/assessments within the annual timeframe of their certification period.

Maintenance of Proficiency Approved by

The Office of Standards and Quality Assurance signs the approval for the maintenance of proficiency for the ATL.

FORM 2.1-3, AUDITOR/SUBJECT MATTER EXPERT (SME) QUALIFICATION RECORD

FORM 2.1-3 QUALIFICATION RECORD		
<input type="checkbox"/> Auditor <input type="checkbox"/> Subject Matter Expert		
Name:		
Employer:		
AUDIT/ASSESSMENT RELATED TRAINING		
REQUIRED READING		
WORK EXPERIENCE		
POST-SECONDARY EDUCATION		
QUALIFICATION EVALUATED AND APPROVED BY:		
_____	_____	_____
Printed Name	Signature	Date

Form 2.1-3, Auditor/Subject Matter Expert Qualification Record

GENERAL INSTRUCTIONS

Based on the requirements listed in either Attachment B of AP-2.1Q, *Qualification of Personnel*, document the following information on Form 2.1-3, Auditor/Subject Matter Expert Qualification Record:

Check box for Auditor or Subject Matter Expert (SME)

Check the box of which qualification requirements apply based on the role in the process for the EM-QA-001 oversight activities.

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 Auditor/SME)

Audit/Assessment Related Training

This block lists the audit courses taken (e.g., EM-QA-001 Training, NQA-1 Lead Auditor Training, American Society of Quality Auditing, 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 SME qualification, then this block shall indicate what reading or orientation the prospective auditor or SME completed.

Work Experience

This block lists the relevant work experience that is related to the role of the prospective auditor or SME for the Office of Standards and Quality Assurance QA Program.

Post-Secondary Education

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

Qualification Evaluated and Approved by

The assigned ATL evaluates the information provided in Form 2.1-3 and signs this block indicating that the qualification has been satisfactorily evaluated.