

June 18, 2012

**Environmental Management Consolidated Business Center (EMCBC)****Subject: Qualification of Assessment Personnel**

Implementing Procedure

APPROVED: (Signature on File)  
EMCBC DirectorISSUED BY: Office of Technical Support and Asset Management

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**1.0 PURPOSE**

The purpose of this procedure is to establish responsibilities and processes for the indoctrination, training, and qualification of personnel who conduct Environment, Safety, and Health; Safeguards and Security; Cyber Security; Emergency Management; and Quality Assurance assessments for the Environmental Management Consolidated Business Center (EMCBC), applicable Service Level Agreement (SLA) Sites, or other requesting DOE Offices and who are required to be qualified under a quality assurance program based on the American Society of Mechanical Engineers (ASME) NQA-1 standard.

**2.0 SCOPE**

The scope of this procedure is assessments and associated activities for the EMCBC, applicable SLA Sites, or other requesting DOE Offices.

**3.0 APPLICABILITY**

The requirements contained within this document apply to all EMCBC and participating SLA site Federal or support contractor personnel and activities.

**4.0 REQUIREMENTS and REFERENCES****4.1 Requirements:**

- 4.1.1 DOE O 226.1B, Implementation of Department of Energy Oversight Policy
- 4.1.2 DOE O 414.1D, Quality Assurance
- 4.1.3 EM-QA-001, EM Quality Assurance Program (QAP)

**4.2 References:**

- 4.2.1 IP-414-04, EMCBC Quality Assurance Records
- 4.2.2 IP-414-09, EMCBC Management Assessment Procedure
- 4.2.3 IP-414-10, EMCBC Independent Assessment Procedure
- 4.2.4 ASME NQA-1-2008, Quality Assurance Requirements for Nuclear Facility Applications (with Addenda through 2009)

## 5.0 DEFINITIONS and ACRONYMS

- 5.1 Assessment – A review, evaluation, inspection, test, check, surveillance, or audit to determine and document whether items, processes, systems, or services meet specified requirements and perform effectively. (DOE O 414.1D)
- 5.2 Audit – A planned and documented activity performed to determine by investigation, examination, or evaluation of objective evidence the adequacy of and compliance with established procedures, instructions, drawings, and other applicable documents, and the effectiveness of implementation. An audit should not be confused with surveillance or inspection activities performed for the sole purpose of process control or product acceptance. (ASME NQA-1-2008)
- 5.3 Certification – The act of determining, verifying, and attesting in writing to the qualifications of personnel, processes, procedures, or items in accordance with specified requirements. (ASME NQA-1-2008)
- 5.4 Qualification, Personnel – The characteristics or abilities gained through education, training, or experience, as measured against established requirements, such as standards or tests that qualify an individual to perform a required function. (ASME NQA-1-2008)

## 6.0 RESPONSIBILITIES

- 6.1 EMCBC Director or applicable Certification Authority
  - 6.1.1 Certifies NQA-1 Lead Auditor qualification based on documented evaluation per this procedure.
  - 6.1.2 Approves NQA-1 Lead Auditor maintenance of proficiency based on documented annual evaluation per this procedure.
- 6.2 EMCBC Assistant Director, Office of Technical Support and Asset Management, or applicable Assessment Manager
  - 6.2.1 Provides recommendation regarding NQA-1 Lead Auditor qualification and forwards to the EMCBC Director or applicable Certification Authority, with concurrence based on documented evaluation per this procedure.
  - 6.2.2 Provides recommendation regarding NQA-1 Lead Auditor maintenance of proficiency and forwards to the EMCBC Director or applicable Certification Authority, with concurrence based on documented annual evaluation per this procedure.
  - 6.2.3 Approves Assessment Team Leader qualification based on documented evaluation per this procedure.

- 6.3 EMCBC Qualification Coordinator, Office of Technical Support and Asset Management
  - 6.3.1 Provides qualification instructions to prospective NQA-1 Lead Auditors.
  - 6.3.2 Reviews qualification information and documentation and recommends approval to the EMCBC Director or applicable Certification Authority regarding NQA-1 Lead Auditor qualification.
  - 6.3.3 Provides annual maintenance of proficiency instructions to NQA-1 Lead Auditors.
  - 6.3.4 Reviews maintenance of proficiency information and documentation and provides recommendation to the EMCBC Director or applicable Certification Authority regarding NQA-1 Lead Auditor maintenance of proficiency.
  - 6.3.5 Maintains records related to the qualification and maintenance of proficiency for NQA-1 Lead Auditors.
  - 6.3.6 Provides qualification instructions to prospective Assessment Team Leaders.
  - 6.3.7 Reviews qualification information and documentation and provides recommendation to the EMCBC Assistant Director or applicable Assessment Manager regarding Assessment Team Leader qualification.
  - 6.3.8 Maintains records related to the qualification of Assessment Team Leaders.
  - 6.3.9 Maintains records related to the qualification of Assessment Team Members.
- 6.4 NQA-1 Lead Auditor or Assessment Team Leader
  - 6.4.1 Provides qualification instructions to prospective Assessment Team Members.
  - 6.4.2 Verifies qualification information and documentation regarding Assessment Team Member qualification.

## 7.0 GENERAL INFORMATION

### 7.1 NQA-1 Lead Auditor

NQA-1 Lead Auditors are qualified per the NQA-1 standard (requirements listed in Attachment A) using the recommended guidance (guidance listed in Attachment D). This involves documenting experience, training, and education; obtaining evaluation of communication skills; passing an examination on the specified body of knowledge; and participation on the specified audits and assessments.

NQA-1 Lead Auditors organize and direct audits, report audit findings, and evaluate corrective action for quality assurance programs and activities that affect quality. NQA-1 Lead Auditors are required per the standard to maintain proficiency as lead auditors. This is documented through an annual management assessment (guidance listed in Attachment E).

### 7.2 Assessment Team Leader

Assessment Team Leaders are qualified per this procedure based on the applicable technical program (environment, safety and health; safeguards and security; cyber security; emergency management; or quality assurance). This involves documenting experience, training and education; and participation on applicable assessments (requirements listed in Attachment B and guidance listed in Attachment F).

The Assessment Team Leader organizes and directs assessments, reports assessment findings, and evaluates corrective action for the applicable technical programs and related activities.

### 7.3 Assessment Team Member

Assessment Team Members are participants in an assessment. Assessment Team Members shall have, or be given, appropriate training or orientation to develop their competence for participating in assessments (requirements listed in Attachment C and guidance listed in Attachment F).

## 8.0 PROCEDURE

### 8.1 Qualification of NQA-1 Lead Auditors

8.1.1 The EMCBC Qualification Coordinator provides the prospective NQA-1 Lead Auditor with instructions for completing Form IP-414-02-F1, NQA-1 Lead Auditor Qualification Record.

8.1.2 The prospective NQA-1 Lead Auditor completes Form IP-414-02-F1; including obtaining copies of applicable qualification documentation, and

provides the form and documentation to the EMCBC Qualification Coordinator.

- 8.1.3 The EMCBC Qualification Coordinator uses the completed Form IP-414-02-F1 and documentation to verify that the prospective NQA-1 Lead Auditor meets the criteria of Attachment A.
- 8.1.4 The EMCBC Qualification Coordinator provides the completed Form IP-414-02-F1 with a recommendation to the EMCBC Assistant Director or applicable Assessment Manager for concurrence and to the EMCBC Director or applicable Certification Authority for approval.
- 8.1.5 The EMCBC Director or applicable Certification Authority certifies the NQA-1 Lead Auditor qualification by signing Form IP-414-02-F1.
- 8.1.6 The EMCBC Director or applicable Certification Authority forwards the signed Form IP-414-02-F1 to the EMCBC Qualification Coordinator to be maintained in accordance with IP-414-04, EMCBC Quality Assurance Records.

## 8.2 Maintenance of NQA-1 Lead Auditor Proficiency

- 8.2.1 The EMCBC Qualification Coordinator, on an annual basis, provides NQA-1 Lead Auditors with Form IP-414-02-F2, NQA-1 Lead Auditor Maintenance of Proficiency Record, for completion.
- 8.2.2 The NQA-1 Lead Auditors complete Form IP-414-02-F2 and provide the form to the EMCBC Qualification Coordinator.
- 8.2.3 The EMCBC Qualification Coordinator uses the completed Form IP-414-02-F2 to verify that the NQA-1 Lead Auditor meets the criteria of Attachment A.
- 8.2.4 The EMCBC Qualification Coordinator provides the completed Form IP-414-02-F2 with a recommendation to the EMCBC Assistant Director or applicable Assessment Manager for concurrence and to the EMCBC Director or applicable Certification Authority for approval.
- 8.2.5 The EMCBC Director or applicable Certification Authority approves the NQA-1 Lead Auditor Maintenance of Proficiency by signing Form IP-414-02-F2.
- 8.2.6 The EMCBC Director or applicable Certification Authority forwards the signed Form IP-414-02-F2 to the EMCBC Qualification Coordinator to be maintained in accordance with IP-414-04, EMCBC Quality Assurance Records.

8.3 Qualification of Assessment Team Leaders

- 8.3.1 The EMCBC Qualification Coordinator provides the prospective Assessment Team Leader with Form IP-414-02-F3, Assessment Team Leader and Assessment Team Member Qualification Record, for completion.
- 8.3.2 The prospective Assessment Team Leader obtains copies of applicable qualification documentation and completes Form IP-414-02-F3 and provides this information to the EMCBC Qualification Coordinator.
- 8.3.3 The EMCBC Qualification Coordinator verifies that the prospective Assessment Team Leader meets the requirements of Attachment B and provides completed Form IP-414-02-F3 to the EMCBC Assistant Director or applicable Assessment Manager.
- 8.3.4 The EMCBC Assistant Director or applicable Assessment Manager reviews and approves the Assessment Team Leader qualification by signing Form IP-414-02-F3.
- 8.3.5 The EMCBC Assistant Director or applicable Assessment Manager forwards the signed Form IP-414-02-F3 to the EMCBC Qualification Coordinator to be maintained in accordance with IP-414-04, EMCBC Quality Assurance Records.

8.4 Qualification of Assessment Team Members

- 8.4.1 The NQA-1 Lead Auditor or Assessment Team Leader provides the prospective Assessment Team Member with Form IP-414-02-F3, Assessment Team Leader and Assessment Team Member Qualification Record, for completion.
- 8.4.2 The prospective Assessment Team Member obtains copies of applicable qualification documentation and completes Form IP-414-02-F3 and provides this information to the NQA-1 Lead Auditor or Assessment Team Leader.
- 8.4.3 The NQA-1 Lead Auditor or Assessment Team Leader verifies that the prospective Assessment Team Member meets the requirements of Attachment C and approves the Assessment Team Member qualification by signing Form IP-414-02-F3.
- 8.4.4 The NQA-1 Lead Auditor or Assessment Team Leader forwards the signed Form IP-414-02-F3 to the EMCBC Qualification Coordinator to be maintained in accordance with IP-414-04, EMCBC Quality Assurance Records.

9.0 RECORDS MAINTENANCE

9.1 Records generated as a result of implementing this document are identified as follows and shall be maintained in accordance with the approved Office of Technical Support and Asset Management File Plan:

9.1.1 ADM 18-35-A - Records that Demonstrate the Capability for Safe Operation. Records of Individuals. [Individuals' Certification Files, Technical Qualification Records]

10.0 FORMS USED

10.1 IP-414-02-F1, EMCBC NQA-1 Lead Auditor Qualification Record

10.2 IP-414-02-F2, EMCBC NQA-1 Lead Auditor Maintenance of Proficiency Record

10.3 IP-414-02-F3, EMCBC Assessment Team Leader and Assessment Team Member Qualification Record

11.0 ATTACHMENTS

11.1 Attachment A – NQA-1 Lead Auditor Qualification Requirements

11.2 Attachment B – Assessment Team Leader Qualification Requirements

11.3 Attachment C – Assessment Team Member Qualification Requirements

11.4 Attachment D – IP-414-02-F1, EMCBC NQA-1 Lead Auditor Qualification Record

11.5 Attachment E – IP-414-02-F2, EMCBC NQA-1 Lead Auditor Maintenance of Proficiency Record

11.6 Attachment F – IP-414-02-F3, EMCBC Assessment Team Leader and Assessment Team Member Qualification Record

12.0 FLOWCHARTS

12.1 Qualification of NQA-1 Lead Auditors

12.2 Maintenance of NQA-1 Lead Auditor Proficiency

12.3 Qualification of Assessment Team Leaders

12.4 Qualification of Assessment Team Members

## 12.1 – Qualification of NQA-1 Lead Auditors

Step	Action	Prospective Lead Auditor	Qualification Coordinator	Assessment Manager	Certification Authority	Responsibility
8.1.1	Provide Form 1 & Instructions		Form 1			6.3.1
8.1.2	Complete Form 1 & Documentation	Form 1				
8.1.3	Verify Qualification Per Attachment A		Form 1			6.3.2
8.1.4	Provide Recommendation & Concurrence			Form 1		6.2.1
8.1.5	Certification Signature				Form 1	6.1.1
8.1.6	Qualification Records		Form 1			6.3.5

## 12.2 – Maintenance of NQA-1 Lead Auditor Proficiency

Step	Action	NQA-1 Lead Auditor	Qualification Coordinator	Assessment Manager	Certification Authority	Responsibility
8.2.1	Provide Form 2 & Instructions		Form 2			6.3.3
8.2.2	Complete Form 2	Form 2				
8.2.3	Verify Proficiency Per Attachment A		Form 2			6.3.4
8.2.4	Provide Recommendation & Concurrence			Form 2		6.2.2
8.2.5	Approval Signature				Form 2	6.1.2
8.2.6	Qualification Records		Form 2			6.3.5



## 12.3 – Qualification of Assessment Team Leaders

Step	Action	Prospective Assessment Team Leader	Qualification Coordinator	Assessment Manager	Certification Authority	Responsibility
8.3.1	Provide Form 3 & Instructions		Form 3			6.3.6
8.3.2	Complete Form 3 & Documentation	Form 3				
8.3.3	Verify Qualification Per Attachment B		Form 3			6.3.7
8.3.4	Approval Signature			Form 3		6.2.3
8.3.5	Qualification Records		Form 3			6.3.8

## 12.4 – Qualification of Assessment Team Members

Step	Action	Prospective Assessment Team Member	Assessment Team Leader	Qualification Coordinator	Assessment Manager	Responsibility
8.4.1	Provide Form 3 & Instructions		Form 3			6.4.1 6.5.1
8.4.2	Complete Form 3	Form 3				
8.4.3	Approve Qualification Per Attachment C		Form 3			6.4.2 6.5.2
8.4.4	Qualification Records			Form 3		6.3.9

**NQA-1 Lead Auditor Qualification Requirements**  
**[ASME NQA-1-2008]**

<b>Part I, Requirement 2 303 Lead Auditor</b>	The Lead Auditor organizes and directs audits, reports audit findings, and evaluates corrective action.
303.1 Communication Skills	The prospective Lead Auditor shall be capable of communicating effectively, both in writing and orally.  These skills shall be attested to in writing by the Lead Auditor's employer.
303.2 Training	Prospective Lead Auditors shall receive training to the extent necessary to assure auditing competence including: <ul style="list-style-type: none"> <li>(a) knowledge and understanding of this Standard and other nuclear-related codes, standards, regulations, and regulatory guides as applicable</li> <li>(b) general structure of quality assurance programs as a whole and applicable elements as defined in this Standard</li> <li>(c) auditing techniques of examining, questioning, evaluating, and reporting; methods of identifying, and following up on corrective action items; and closing out audit findings</li> <li>(d) planning audits of activities affecting quality</li> <li>(e) on-the-job training to include applicable elements of the audit program</li> </ul>
303.3 Audit Participation	Prospective Lead Auditors shall participate in a minimum of five (5) quality assurance audits within a period of time not to exceed three (3) years prior to the date of qualification, one audit of which shall be a nuclear quality assurance audit within the year prior to qualification.  Participation in independent assessments including team assessment activities such as operations readiness reviews and regulatory inspections / surveys may be used to satisfy up to four (4) of the five (5) required quality assurance audits, provided that the activities can demonstrate the following: <ul style="list-style-type: none"> <li>(a) independence from the functional areas being assessed</li> <li>(b) planning that establishes the scope of the activities and associated evaluation criteria</li> <li>(c) performance by technically qualified and experienced personnel</li> <li>(d) results that are documented and reported to management</li> <li>(e) appropriate corrective action initiated and tracked to resolution</li> </ul> Such participation shall be subject to review and acceptance by the organization responsible for quality assurance audits and / or the certifying authority prior to their use for qualification.

303.4 Examination	<p>Prospective Lead Auditors shall pass an examination which shall evaluate comprehension of and ability to apply the body of knowledge identified above (303.2 Training).</p> <p>The examination may be oral, written, practical, or any combination thereof.</p>
303.5 Maintenance of Proficiency	<p>Lead Auditors shall maintain their proficiency through one or more of the following:</p> <ul style="list-style-type: none"><li>(a) regular and active participation in the audit process</li><li>(b) review and study of codes, standards, procedures, instructions, and other documents related to quality assurance program and program auditing</li><li>(c) participation in training program(s)</li></ul> <p>Based on annual assessment, management may extend the qualification, require retraining, or require requalification.</p>
303.6 Requalification	<p>Lead Auditors who fail to maintain their proficiency for a period of two (2) years or more shall require requalification.</p> <p>Requalification shall include retraining in accordance with the requirements of para. 303.2 of this Requirement, reexamination in accordance with para. 303.4 of this Requirement and participation as an Auditor in at least one nuclear quality assurance audit.</p>

**Assessment Team Leader Qualification Requirements**

<b>Assessment Team Leader</b>	The Assessment Team Leader organizes and directs assessments, reports assessment findings, and evaluates corrective action.
Training	<p>Prospective Assessment Team Leaders shall receive training to the extent necessary to assure assessing competence including:</p> <ul style="list-style-type: none"> <li>(a) knowledge and understanding of standards, regulations, and regulatory guides as applicable</li> <li>(b) general structure of applicable programs as a whole and applicable elements</li> <li>(c) assessment techniques of examining, questioning, evaluating, and reporting; methods of identifying, and following up on corrective action items; and closing out assessment findings</li> <li>(d) planning assessment of applicable activities</li> <li>(e) on-the-job training to include applicable elements of the assessment program</li> </ul>
Assessment Participation	<p>Prospective Assessment Team Leaders shall participate in a minimum of two (2) assessments within a period of time not to exceed three (3) years prior to the date of qualification.</p> <p>Participation in independent assessments including team assessment activities such as operations readiness reviews and regulatory inspections / surveys may be used to satisfy the two required assessments, provided that the activities can demonstrate the following:</p> <ul style="list-style-type: none"> <li>(a) independence from the functional areas being assessed</li> <li>(b) planning that establishes the scope of the activities and associated evaluation criteria</li> <li>(c) performance by technically qualified and experienced personnel</li> <li>(d) results that are documented and reported to management</li> <li>(e) appropriate corrective action initiated and tracked to resolution</li> </ul> <p>Such participation shall be subject to review and acceptance by the organization responsible for assessments and / or the approving authority prior to their use for qualification.</p>
Maintenance of Proficiency	Not Required
Requalification	Not Required

**Assessment Team Member Qualification Requirements**

<b>Assessment Team Member</b>	Assessment Team Members are participants in an assessment. Assessment Team Members shall have, or be given, appropriate training or orientation to develop their competence for participating in assessments.
Training or Orientation	<p>Assessment Team Members shall receive training to the extent necessary to assure assessing competence including:</p> <ul style="list-style-type: none"> <li>(a) knowledge and understanding of standards, regulations, and regulatory guides as applicable</li> <li>(b) general structure of applicable programs as a whole and applicable elements</li> <li>(c) assessment techniques of examining, questioning, evaluating, and reporting; methods of identifying, and following up on corrective action items; and closing out assessment findings</li> <li>(d) planning assessment of applicable activities</li> <li>(e) on-the-job training to include applicable elements of the assessment program</li> </ul>
Assessment Participation	<p>Assessment Team Members shall participate in a minimum of one (1) assessment, surveillances, oversight activities, or document reviews within a period of time not to exceed three (3) years prior to the date of qualification.</p> <p>At the discretion of the Assessment Team Leader, this requirement may be waived provided the Assessment Team Member is partnered with a mentor during the assessment (Assessment Team Leader or another experienced Assessment Team Member).</p>
Maintenance of Proficiency	Not Required
Requalification	Not Required

## EMCBC NQA-1 Lead Auditor Qualification Record

<b>RECORD OF LEAD AUDITOR QUALIFICATION</b>		<b>Name</b>	<b>Date</b>
<b>EMPLOYER:</b>			
<b>QUALIFICATION POINT REQUIREMENTS</b>			<b>CREDITS</b>
<b>Education – University/Degree Date</b>		4 Credits Max.	
1. Undergraduate Level 2. Graduate Level			
<b>Experience – Company/Dates</b>		9 Credits Max.	
1. Technical (0-5 credits) and Nuclear Quality Assurance (3 credits), or 2. Nuclear Industry (1 credit), or Nuclear Quality Assurance Auditing (4 credits) Quality Assurance (2 credits), or Auditing (3 credits)			
<b>Professional Accomplishment – Certificate/Date</b>		2 Credits Max.	
1. P.E. 2. Society			
<b>Management – Justification/Evaluator/Date</b>		2 Credits Max.	
Explain:			
Evaluated by: (Name and Title)		Date:	
<b>Total Credits:</b> _____			
<b>AUDIT COMMUNICATION SKILLS</b>			
Evaluated by: (Name and Title)		Date:	
<b>AUDIT TRAINING COURSES</b>			
Course Title or Topic:			
1.			
2.			
<b>AUDIT PARTICIPATION</b>			
	<b>Location</b>	<b>Audit</b>	<b>Date</b>
	1.		
	2.		
	3.		
	4.		
	5.		
<b>EXAMINATION:</b>		<b>PASSED:</b>	<b>DATE:</b>
<b>QUALIFICATION VERIFIED BY:</b> (Signature and Title)		<b>Date</b>	
<b>QUALIFICATION APPROVED BY:</b> (Signature and Title)		<b>Date</b>	

**Form IP-414-02-F1 – General Instructions**

*(Based on ASME NQA-1-2008, Non-mandatory Appendix 2A-3 – Guidance on the Education and Experience of Audit Team Leaders.)*

The prospective NQA-1 Lead Auditor shall have verifiable evidence that a minimum of 10 credits under the following score system have been accumulated. Based on the requirements listed in Attachment A, document on Form IP-414-02-F1 qualification information that supports qualification as a NQA-1 Lead Auditor.

**Education (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.

**Other 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 Lead Auditors 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.

**Signatures**

Qualification is verified by the Qualification Coordinator  
Approval is by the Certifying Authority

## EMCBC NQA-1 Lead Auditor Maintenance of Proficiency Record

LEAD AUDITOR MAINTENANCE OF PROFICIENCY		Name	Date
EMPLOYER:			
TRAINING, REVIEWS, OR STUDY ACTIVITIES			
AUDIT PARTICIPATION			
Organization	Location	Audit	Date
LEAD AUDITOR ANNUAL EVALUATION			
<input type="checkbox"/> Qualification extended (certification is valid for a period of two years from date below) <input type="checkbox"/> Retraining required <input type="checkbox"/> Requalification required			
ANNUAL EVALUATION APPROVED BY: (Signature and Title)			Date



**Form IP-414-02-F2 – General Instructions**

Based on the requirements listed in Attachment A (and below), document on Form IP-414-02-F2 activities which support maintenance of proficiency as a NQA-1 Lead Auditor.

***ASME NQA-1-2008, Quality Assurance Requirements for Nuclear Facility Applications  
Requirement 2 – Quality Assurance Program***

*Paragraph 303.5 Maintenance of Proficiency*

- *Lead Auditors shall maintain their proficiency through one or more of the following:*
  - (a) regular and active participation in the audit process*
  - (b) review and study of codes, standards, procedures, instructions, and other documents related to quality assurance program and program auditing*
  - (c) participation in training program(s)*
- *Based on annual assessment, management may extend the qualification, require retraining, or require requalification.*

## EMCBC Assessment Team Leader and Assessment Team Member Qualification Record

RECORD OF QUALIFICATION		Name	Date
EMPLOYER:			
ASSESSMENT TEAM LEADER (per IP-414-02, Attachment B)			
ASSESSMENT TEAM MEMBER (per IP-414-02, Attachment C)			
EDUCATION			
WORK EXPERIENCE			
ASSESSMENT-RELATED TRAINING			
ASSESSMENT PARTICIPATION			
Organization	Location	Assessment	Date
QUALIFICATION VERIFIED BY: (Signature and Title)			Date
QUALIFICATION APPROVED BY: (Signature and Title)			Date

**Form IP-414-02-F3 – General Instructions**

Based on the requirements listed in Attachments B and C document activities on Form IP-414-02-F3 which support qualifications as an Assessment Team Leader or Assessment Team Member.

**RECORD OF REVISION****DOCUMENT: IP-414-02, EMCBC Qualification of Assessment Personnel**

If there are changes to the controlled document, the revision number increases by one. Indicate changes by one of the following:

- I Placing a vertical black line in the margin adjacent to sentence or paragraph that was revised.
- I Placing the words GENERAL REVISION at the beginning of the text.

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<b>Rev. No.</b>	<b>Description of Changes</b>	<b>Revision on Pages</b>	<b>Date</b>
0	Original	All	06/18/2012