

# UNCONTROLLED COPY



## OFFICE OF CIVILIAN RADIOACTIVE WASTE MANAGEMENT QUALITY ASSURANCE ADMINISTRATIVE PROCEDURE

Title:

VERIFICATION OF PERSONNEL QUALIFICATIONS

Procedure No.:

QAAP 2.2

Revision:

1

Date:

01/27/92

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Concurrence

Date:

1/2/92

Approval

Date:

1/2/92

### 1.0 PURPOSE

This procedure establishes the responsibilities and methods for the verification of personnel qualifications. This procedure also identifies prerequisites for performing activities subject to quality assurance (QA) program controls.

### 2.0 SCOPE

This procedure applies to the verification of education and experience of Office of Civilian Radioactive Waste Management (OCRWM) Headquarters (HQ) and direct-support contractor personnel who perform activities subject to QA program controls. Separate Quality Assurance Administrative Procedures (QAAPs) may include additional requirements for qualification and certification of personnel involved in audit, test, inspection, examination or other special activities.

### 3.0 REFERENCES AND DEFINITIONS

#### 3.1 REFERENCES

3.1.1 *Quality Assurance Requirements Document (QARD), DOE/RW-0214.*

3.1.2 *Quality Assurance Program Description Document (QAPD), DOE/RW-0215.*

#### 3.2 DEFINITIONS

3.2.1 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. (NQA-1).

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**3.2.2** Supervisor - OCRWM or direct-support contractor personnel assigned to positions designated as "supervisory" and responsible for directing the work of others. In the OCRWM organization, this includes personnel serving as Branch Chiefs or higher.

**3.2.3** Verification - The act of reviewing, inspecting, testing, checking, auditing, or otherwise determining and documenting whether items, processes, services, or documents conform to specified requirements. (NQA-1)

**3.2.4** The definitions of other quality assurance related terms are found in the glossary contained in reference 3.1.1.

**4.0** **RESPONSIBILITIES**

**4.1** **ASSOCIATE AND OFFICE DIRECTORS, OCRWM**

The Associate and Office Directors, OCRWM are responsible for ensuring that personnel within their organizations who perform activities subject to QA program controls have been qualified and are working to current position descriptions.

**4.2** **DIRECTOR, OFFICE OF QUALITY ASSURANCE**

In addition to responsibilities outlined in Subsection 4.1, the Director, OQA is responsible for developing and maintaining this QAAP.

**4.3** **OCRWM AND DIRECT-SUPPORT CONTRACTOR SUPERVISORS**

OCRWM and direct-support contractor supervisors are responsible for:

**4.3.1** Ensuring that appropriate documentation for positions under their direct supervision accurately reflects the minimum qualifications for the position and the duties and responsibilities to be performed by personnel assigned to the positions;

**4.3.2** Ensuring that minimum education and experience of employees under their direct supervision have been verified to the extent possible;

**4.3.3** Ensuring that personnel under their supervision are qualified prior to assignment to perform activities subject to QA program controls;

**4.3.4** Collecting and entering personnel training and qualification documentation into the OCRWM records management system; and

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4.3.5 Maintaining a working file copy of personnel training and qualification documentation.

4.3.6 In addition, OCRWM supervisors are responsible for providing a copy of the completed Position Qualification Statement (PQS) and supporting documentation to the Chief, Management Services Branch prior to completion of the hiring process.

## **5.0 GENERAL**

5.1 Supervisors shall develop position descriptions that describe the major duties and responsibilities for each of their staff who perform activities subject to QA program controls. The position descriptions shall be included in each employee's training and qualification file.

5.2 Minimum education and experience requirements for each position shall be specified in appropriate documentation as follows:

- a) For OCRWM positions, minimum education and experience requirements shall be consistent with the OPM Handbook X-118, which is maintained by the Office of Personnel, Operations Branch.
- b) Direct-support contractors shall include minimum qualifying education and experience requirements in their position descriptions.

## **6.0 PROCEDURE**

### **6.1 POSITION DESCRIPTIONS**

6.1.1 Supervisors shall develop position descriptions for those employees who perform, under their direct supervision, activities subject to QA program controls.

6.1.2 If a change in duties and responsibilities for a given position requires a change to the established minimum qualifications, the supervisor shall revise the position description and reevaluate the existing personnel within that position.

### **6.2 VERIFICATION OF EDUCATION AND EXPERIENCE**

6.2.1 The supervisor shall review a prospective employee's SF 171, resume, or application for employment and shall verify, to the extent possible, accuracy of the information provided against the minimum education and experience required for the position.

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6.2.2 The supervisor shall complete the Position Qualification Statement (Attachment I) and attach objective evidence, of verification, such as statements from colleges and signed and dated telephone conversation records, that supports the stated education and experience.

6.2.3 When relevant education and experience cannot be verified, the supervisor shall provide a written statement with justification for the personnel assignment attached to the PQS. Justification should include why verification was not possible and address specific factors such as past performance, training, and other available information.

**6.3 DISTRIBUTION OF COMPLETED DOCUMENTATION**

6.3.1 The supervisor shall transmit a copy of the completed PQS with supporting documentation to the appropriate administrative support personnel within OCRWM or the direct-support contractor organization to complete the personnel hiring process.

6.3.2 Upon completion of the hiring process, the supervisor shall transmit the completed PQS with supporting documentation directly to the Quality Records Center (QRC) in accordance with QAAP 17.1, *QA Records Management*.

6.3.3 The supervisor shall also retain a copy as the office working file. The working file shall be maintained in a locked cabinet. Access to the working files is controlled in accordance with Subsection 7.2.

**6.4 COMPLETION OF QUALIFICATION REQUIREMENTS**

6.4.1 The supervisor shall establish the employee's indoctrination and training requirements on the Indoctrination and Training Matrix in accordance with QAAP 2.1, *Indoctrination and Training* only after the PQS has been completed in accordance with Subsection 6.2.

6.4.2 Prior to completion of all indoctrination and training on the Indoctrination and Training Matrix, the supervisor may assign the employee to any specific activity covered by the employee's position description provided that:

- a) The employee has completed the relevant indoctrination and training required for that activity; and
- b) The employee has satisfied any special requirements contained in any QAAP covering the activity.

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#### 6.5 CHANGE IN EMPLOYMENT STATUS

Employees reassigned to perform new duties that require different qualifications shall be re-qualified. Relevant education and experience for the new position that were not previously verified shall be verified in accordance with this procedure.

#### 7.0 RECORDS

7.1 Position descriptions, Position Qualification Statements and supporting documentation generated as a result of this procedure are considered QA records and shall be collected and maintained in accordance with QAAP 17.1, *QA Records Management*.

7.2 QA training and qualification records are controlled as privileged DOE System 80 records in the OCRWM records management system. Access to these records is limited to authorized supervisors and records management personnel, and to QA audit and surveillance personnel to verify compliance with QA program requirements.

#### 8.0 ATTACHMENTS

8.1 ATTACHMENT I - Position Qualification Statement

8.2 ATTACHMENT II - QAAP 2.2 Flowchart



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**ATTACHMENT I**

**POSITION QUALIFICATION STATEMENT (Example)**

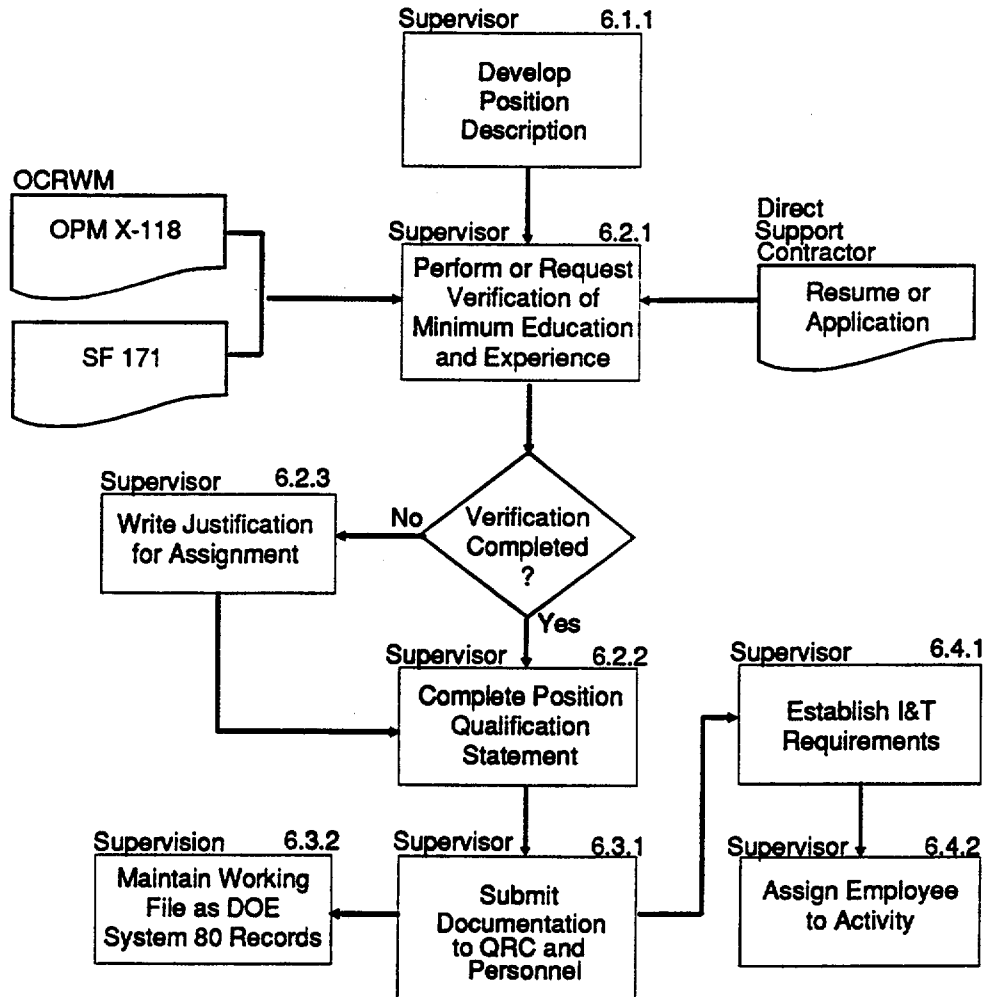
PAGE _____ OF QA
<b>OFFICE OF CIVILIAN RADIOACTIVE WASTE MANAGEMENT U.S. DEPARTMENT OF ENERGY WASHINGTON, D.C.</b>
<b>POSITION QUALIFICATION STATEMENT</b>
<b>**** DOE SYSTEM 80 RECORD ** SPECIAL PROCESSING REQUIRED ****</b>
<div style="display: flex; justify-content: space-between; margin-bottom: 10px;"><span>EMPLOYEE _____</span><span>PHONE _____</span></div> <div style="margin-bottom: 10px;">EMPLOYEE ORGANIZATION/DEPT. _____</div> <p>An evaluation of previous education and experience has been performed and it has been determined that the employee identified above does meet the qualification requirements necessary to perform the duties and responsibilities of the position of (job description and function):</p> <div style="border-bottom: 1px solid black; height: 15px; margin-bottom: 5px;"></div> <div style="border-bottom: 1px solid black; height: 15px; margin-bottom: 5px;"></div> <div style="border-bottom: 1px solid black; height: 15px; margin-bottom: 5px;"></div> <div style="border-bottom: 1px solid black; height: 15px; margin-bottom: 5px;"></div> <div style="border-bottom: 1px solid black; height: 15px; margin-bottom: 5px;"></div>
<div style="display: flex; justify-content: space-between; margin-bottom: 10px;"><span>SUPERVISOR _____</span><span>_____</span></div> <div style="display: flex; justify-content: space-between; margin-bottom: 10px;"><span>Name</span><span>Signature</span></div> <div style="margin-bottom: 10px;">DATE OF EVALUATION: _____</div>

REV. 12/18/91



ATTACHMENT II

QAAP 2.2 FLOWCHART



OFFICE OF CIVILIAN  
RADIOACTIVE WASTE MANAGEMENT  
U.S. DEPARTMENT OF ENERGY  
WASHINGTON, D.C.

## REVISION RECORD

TITLE:

Verification of Personnel Qualifications

PROCEDURE NO.

2.2

REV. NO. (current)

0

## DESCRIPTION OF PROPOSED REVISION AND RATIONALE:

Revise QAAP 2.2, Revision 0 to incorporate the following:

- 1) Add requirements for QA records under DOE System 80 of the Privacy Act;
- 2) Revise the verification process to reassign the responsibilities; and
- 3) Eliminate the involvement of the DOE Office of Personnel in the verification process.

PREPARER OF PROPOSED REVISION

C. Nye



DATE 11/07/91

TYPE OF REVISION (Check One):

MAJOR XMINOR     

SIGNATURE TO AUTHORIZE REVISION



Responsible Associate or Office Director

DATE 11/15/91

TYPE OF REVISION (Check One):

MAJOR XMINOR     

CONCURRENCE SIGNATURE



Director, OQA

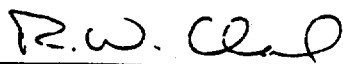
DATE 11/15/91

RECOMMENDED TRAINING:

READ XCLASSROOM XOTHER     ~~Classroom training recommended for Supervisors only.~~

Rux 11/15/91

As required by IET MATRIX



RESPONSIBLE ASSOCIATE OR OFFICE DIRECTOR OR QA TRAINING OFFICER

DATE 11/15/91