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**TECHNICAL QUALIFICATION
PROGRAM PLAN FOR FEDERAL
PERSONNEL WITH SAFETY
RESPONSIBILITIES AT DEFENSE
NUCLEAR FACILITIES**



**NATIONAL NUCLEAR SECURITY ADMINISTRATION
Office of the Senior Advisor for Environment, Safety
and Health**

TECHNICAL QUALIFICATION PROGRAM PLAN FOR FEDERAL PERSONNEL WITH SAFETY RESPONSIBILITIES AT DEFENSE NUCLEAR FACILITIES

1. **PURPOSE.** Establish the process that the National Nuclear Security Administration (NNSA) shall use to ensure its Federal technical employees possess the necessary knowledge, skills, and abilities to perform their assigned duties and responsibilities. It specifically applies to individuals whose duties and responsibilities require them to provide assistance, guidance, direction, or oversight that could affect the safe operation of a defense nuclear facility, including evaluation of contractor activities at those facilities.

NNSA is committed to assuring that operations conducted by NNSA and contractor employees at defense nuclear facilities are managed safely, consistent with the Department of Energy's (DOE's) Integrated Safety Management System (ISMS) policy. A fundamental requirement for the safe management of operations is to ensure that personnel possess competence commensurate with responsibilities.

This plan establishes the corporate NNSA Technical Qualification Program (TQP), which describes the training and qualification requirements for technical personnel with safety responsibilities at defense nuclear facilities. It documents how NNSA identifies these positions; tailors qualification standards for them; establishes time and duty limitations for qualification; describes the process to identify learning activities to achieve competency for the specific job duties; and establishes methods for evaluating qualification.

The corporate TQP is designed to achieve the following goals:

- a. **Alignment with mission priorities** to ensure relevance and practicality;
- b. **Rigorous** to ensure and demonstrate technical personnel possess necessary capabilities to effectively perform their work;
- c. **Consistent implementation** to support transportability and integration;
- d. **Streamlined** to facilitate a smooth qualification process for participants;
- e. **Dynamic** to incorporate continuous improvement through responsiveness to feedback;
- f. **Cost effective** to focus on positions and capabilities with potential to directly impact the safe operation of NNSA defense nuclear facilities; and

- g. **Consistent** with the ISMS guiding principle of personnel possessing competence commensurate with their assigned responsibilities and the Quality Assurance criterion to ensure adequate personnel training and qualification.
2. CANCELLATIONS. NNSA TQP Program Plan for Federal Personnel with Safety Responsibilities at Defense Nuclear Facilities, NNSA, (6/04)
 3. APPLICABILITY. The provisions of this plan apply to all of the Administration's organizations and elements with the exception of Naval Reactors and the Kansas City Site Office.
 4. REQUIREMENTS.
 - a. NNSA Federal Technical Capability Agents. NNSA Federal Technical Capability Agents (Agents) are key to the success of the Technical Qualification Program within NNSA. Each NNSA Site Office Manager and the NNSA Service Center Director designates a senior manager to serve as the representative of their office on the Federal Technical Capability Panel (Panel); the individual is designated the Agent for that organizational element (Site Office or Service Center). The Administrator designates one individual to serve as the Headquarters/Lead Agent, who is the lead NNSA Agent. The Headquarters Agent represents all Headquarters organizations on the Panel and provides overall direction for the NNSA TQP. All Agents must be qualified as Senior Technical Safety Managers (STSMs).

The NNSA Headquarters/Lead Agent and the other NNSA Agents integrate the TQP effort among NNSA elements, approve implementation processes and procedures, and ensure that this plan, *Technical Qualification Program Plan for Federal Personnel with Safety Responsibilities at Defense Nuclear Facilities*, is applied consistently throughout the complex. The NNSA TQP Manager, who is designated by the Service Center Learning and Career Development Department (LCDD) Manager, administers the NNSA TQP. The Headquarters/Lead Agent may call meetings of the Agents, as needed, to accomplish NNSA business for the Federal Technical Capability Program (FTCP). These meetings are usually held via teleconference calls.

Agents also ensure implementation of DOE Manual (M) 426.1-1A, *Federal Technical Capability Manual*, for their element, including the conduct of periodic self-assessments of the TQP.
 - b. Qualifying Officials. To ensure a rigorous, consistent approach is used to qualify TQP participants, NNSA uses qualifying officials (QOs). A QO is an individual who has the technical experience or education in a particular technical area, and

who, with the necessary training, is authorized to sign qualification cards for designated competencies. The QO signs the qualification card when he or she has verified that a candidate has demonstrated proficiency in these designated competencies.

Typically, a candidate's supervisor is the QO for all competencies unless the supervisor has designated a subject matter expert (SME) as the QO for specific competencies. An SME is an individual who through professional education, certification or experience has knowledge in a particular subject area.

The names and competency designations for QOs must be submitted to the cognizant Agent for approval. The Agent forwards the name of the approved QO to the NNSA TQP Manager who, upon request, trains the QO on their responsibilities before the QO is certified to sign qualification cards. Alternatively, individual sites may train the QO on responsibilities consistent with guidance in the NNSA *TQP User's Guide*, and the site FTCP Agent forwards attestation documentation to the NNSA TQP Manager. The NNSA TQP Manager maintains the official list of approved QOs by organization.

An STSM shall be recommended for qualification by the next senior STSM in their line organization, or if one does not exist, the site Agent. The Agent may serve as the second-level approval authority for qualification of STSMs.

Facility Representatives are qualified by their site office manager, per DOE-STD-1063-2006, *Facility Representatives*.

c. Identification of Positions and Development of Qualification Standards.

Individuals assigned line management, technical support, operation, or oversight responsibilities that provide assistance, guidance, direction, oversight, or evaluation of contractor activities that could directly affect the safe operation of a defense nuclear facility are required to participate in the TQP. This requirement is cited in the vacancy announcement, position description (PD), and the participant's individual development plan (IDP) and performance standards. The recommended process for placing individuals or positions in the TQP is in the NNSA TQP User's Guide, section 3.0. Any other method used to evaluate a position for the TQP shall be based on the site mission and appropriate safety risks and consequences of operating its nuclear facilities. The qualification status of all staff in these positions is reported quarterly to the Panel.

Managers may add individuals as TQP participants even though they may not otherwise be required to be in the TQP. These individuals should be responsible for safety, health, or environmental protection in science or technology-intensive

facilities. Their qualification status is not included in the quarterly reports to the Panel, whose primary focus is on defense nuclear facilities.

The NNSA TQP uses the Department-wide General Technical Base Qualification Standard (GTBQS) and functional area qualification standards (FAQS) to facilitate transportability of qualifications across DOE and NNSA. The supervisor assigns each TQP participant a position qualification standard package that is a combination of the GTBQS, a primary FAQS, and if required an office-, site-, facility-, or position-specific standard (PSS).

To ensure all NNSA TQP participants share a common core of relevant technical knowledge, they complete all the competencies in the GTBQS and assigned FAQS. The Safeguards and Security FAQS and Electrical Systems and Safety Oversight FAQS may be modified by the supervisor or FTCP Agent depending on a position's responsibilities.

Agents submit the names of TQP participants and their assigned FAQS to the NNSA TQP Manager. The NNSA TQP Manager maintains the official NNSA TQP database which reflects the position and assigned FAQS.

If a PSS is required, the supervisor and participant develop the qualification standard and qualification card, including supporting knowledge, skills and abilities (KSAs) for the position. The supervisor may send the proposed PSS to the NNSA TQP Manager for review. The suggested process and format for a PSS are in the *NNSA TQP User's Guide*, section 4.0.

If the NNSA TQP Manager reviews the proposed PSS and associated card, the NNSA TQP Manager sends any suggested changes to the supervisor. The supervisor approves the final PSS and card, sends them to the Agent for concurrence, and then sends the approved qualification standard and card to the NNSA TQP Manager for filing. It is important that the supervisor performs a timely review of these documents.

The final qualification standard and card are issued to the participant within 60 days of his or her assignment to a new position. The participant has 18 months from the issuance date to qualify.

If the supervisor is not in the TQP, the Agent, supervisor, and TQP participant develop the position qualification standard and card.

- d. Tailoring through Professional Certifications and Other Equivalencies. Equivalencies should be used sparingly and with the utmost rigor and scrutiny to maintain the spirit and intent of the TQP. Equivalencies may be granted for

individual competencies based upon objective evaluation of evidence of the employee's education, experience, certification, or training. The supporting knowledge and skill statements for the individual competencies should be considered before granting equivalency for a competency.

Experience or training that had some form of examination process may be evaluated and documented to demonstrate equivalency to the specified competencies. Satisfactory completion of courses that relate directly to specific competencies may be considered equivalent. Professional certification, such as a registered professional engineer license, certified industrial hygienist, certified health physicist, certified quality engineer, certified project manager, or registered environmental manager that relates directly to the functional area may be documented to demonstrate equivalency of competence, except for DOE-specific processes and requirements. Professional certification does not satisfy the need to qualify in competence areas pertaining to DOE- and NNSA-specific directives, requirements, policies or procedures. Completion of GTBQS and any assigned office-, site-, facility-, or position-specific competencies must still be demonstrated. The NNSA TQP Manager publishes a list of recognized professional certification equivalencies, which may reduce duplicative qualification requirements.

Equivalencies for qualification activities for non-STSM positions are approved by a QO. However, Agents must approve STSM equivalencies. For STSMs, an equivalency must be demonstrated through some form of documented evaluation, such as an interview by the Agent or by "challenge" exam.

Equivalencies shall be documented on the TQP participant's qualification card. Any disagreements between the QO and a TQP participant regarding equivalencies shall be resolved by the supervisor or Agent.

- e. Initial Screening for STSM and TQP Participants. At the beginning of the qualification process for an STSM, the Agent determines whether the STSM participant has technical competence in assigned areas of responsibility. The Agent documents any determination of insufficient competence and any duty limitations of the STSM participant. If the STSM participant does not meet the education or experience requirements in the STSM FAQs, the Agent coordinates development of compensatory measures.

The Agent notifies the Panel and the NNSA TQP Manager of changes to the element's list of STSMs, either positions or individuals.

For TQP participants who are not STSMs, the employee and supervisor determine

and document the extent to which the employee has competence commensurate with assigned responsibilities, as described under paragraph 4.k., “Duty Limitations.” This determination should be made when the supervisor and TQP participant review the qualification standard and associated card at the beginning of the qualification process.

- f. Learning Activities. The employee and supervisor, with support from the Service Center LCDD, determine the best method for learning. It may include formal training, computer-based learning, self-study, mentoring, or on-the-job training depending on the competency. The employee and supervisor should also determine the method to evaluate attainment of the competency. The learning activities and evaluation methods are added to the employee’s IDP and qualification card.

Upon completion of a learning activity, the participant’s competence is evaluated and documented.

- (1) Formal Training. Many types of formal training courses are available for meeting the competencies within the qualification standards; however, just because a formal training course is available does not mean it automatically meets the employee’s or NNSA’s needs. Most importantly, the training should be consistent with the employee’s required knowledge level for meeting the competency. An SME may assist the supervisor, recommending appropriate existing courses. If the course doesn’t include an acceptable (i.e., rigorous, formal test) evaluation of the participant’s knowledge, the participant will need to arrange for a separate evaluation.

The DOE Online Learning Center (OLC), available on the Internet, hosts a number of technical courses that satisfy qualification requirements. Most OLC courses have built-in evaluation tools and documentation through printed course completion certificates.

- (2) Self-Study and Mentoring. Many competencies can be learned through self-study, mentoring, or other learning experiences. The supervisor, NNSA TQP Manager, and QO assist the employee in arranging these learning activities.

- g. Evaluation of Competencies. Upon completion of one or a set of learning activities, the employee’s attainment of competencies is evaluated by a QO. This evaluation may be an observation of performance, a written examination, an oral evaluation, or an evaluation of equivalency documents. There are a variety of evaluation options available, and any appropriate method can be used by the participant and QO. The participant is responsible for providing the objective

evidence of qualification on competencies. Equivalency is discussed in paragraph 4.d., "Tailoring through Professional Certifications and Other Equivalencies."

- (1) **Observation of Performance.** Observation of performance is the preferred method of evaluation. When a TQP participant satisfactorily completes an observed task or activity related to a competency requirement, the QO signs the qualification card indicating competency attainment. If a site/facility walkthrough is used to demonstrate performance of qualification requirements, the QO verifies the participant's knowledge and practical skills through personal observation.
- (2) **Written Examination and Oral Evaluation.** The NNSA TQP Manager maintains an exam bank for those competencies that lend themselves to written examination or oral evaluation. The exam bank is comprised of questions, with acceptable answers, developed by SMEs. The NNSA TQP Manager, a training professional, may assist the SME to ensure tests are valid and reliable, and correlate appropriately with the knowledge and skills supporting these competencies.

A participant may arrange with the NNSA TQP Manager, QO, or his or her supervisor for an examination. Written exams cover the key aspects of the competencies to demonstrate the extent to which the participant has met the requirements. The participant shall be informed in advance whether the exam is open book or closed book, and what materials are acceptable to use during the exam.

Written examinations are proctored and reviewed with the employee upon completion. A score of 80% is considered a passing grade for all written examinations.

Oral evaluations should be conducted using an approach similar to the one for written exams. The person administering the oral evaluation should develop sufficient questions to ensure a participant has the breadth and depth of knowledge required to demonstrate knowledge of each competency statement. Oral evaluations shall be pass/fail only. The person administering the oral evaluation takes notes on the participant's responses. The QO sends a summary of areas covered to the NNSA TQP Manager for inclusion in the participant's qualification record. When a supervisor is given an oral evaluation by a QO who is a direct report, the Agent should participate in the oral evaluation as a quality assurance review.

Participants who do not pass a written examination or an oral evaluation shall require remedial learning activities under a plan recommended by the QO and approved by their supervisor if the supervisor is not the QO. Upon completion of the plan, the participant is required to demonstrate competence in the targeted area. The cognizant Agent, in consultation with the element's manager, shall determine the number of times that a participant can retake an examination.

The supervisor, in coordination with the cognizant Agent, shall review the training record of any employee who has demonstrated a consistent inability to pass a written examination or an oral evaluation and determine whether the employee should continue efforts toward qualification.

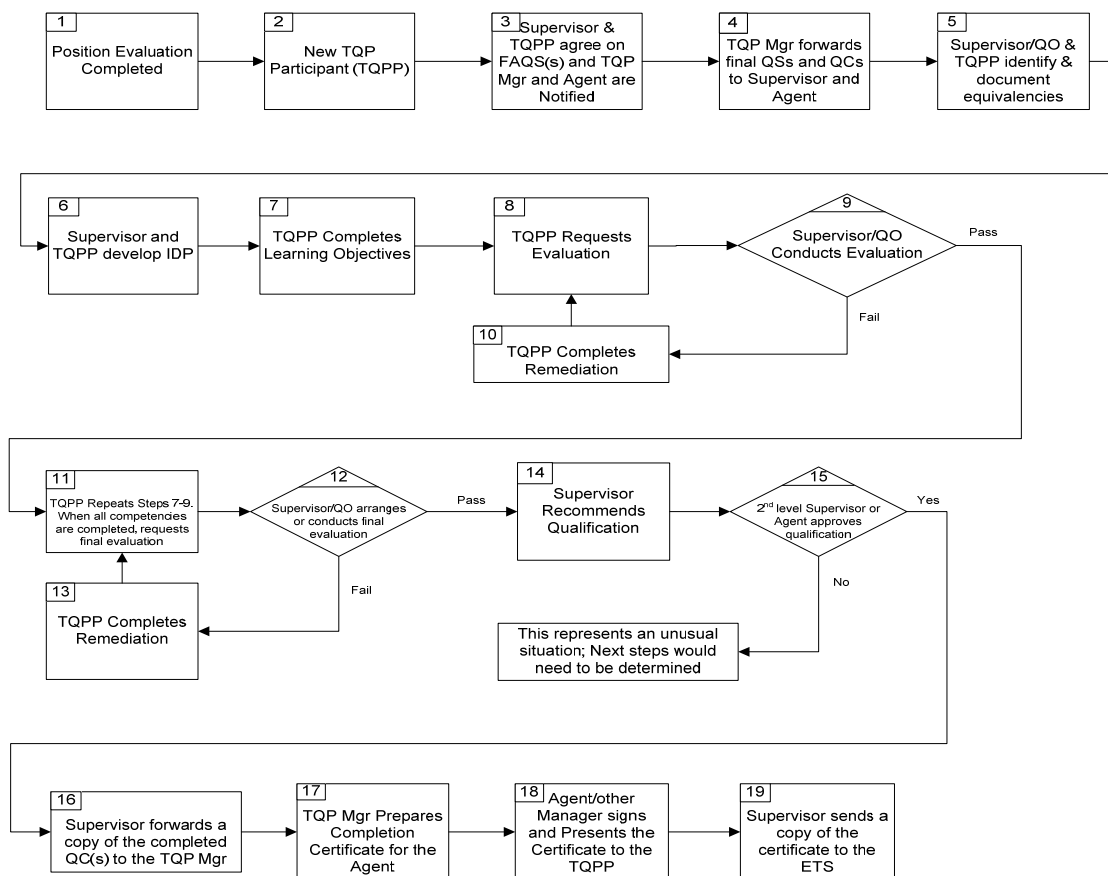
Written examination or notes on oral evaluation or observations of performance shall be maintained on site.

- h. Final Qualification Approval Process. The supervisor shall ensure the TQP participant completes a final qualification activity; it may consist of a comprehensive written examination, an oral examination, a site/facility walkthrough, or some combination of these options. The supervisor signs the participant's functional area qualification card (FAQC) after successful completion of the examination and recommends qualification of the participant by the second-level supervisor. The second-level supervisor approves the qualification after confirming that the qualification process was followed. STSMs shall be recommended for qualification by the next senior STSM in their line or, if one does not exist, the Agent. The Agent serves as second-level qualification approval authority for STSMs. Facility Representatives shall be qualified by their site office managers, per DOE-STD-1063-2006, *Facility Representatives*. If an oral examination is used for final qualification approval, it will be conducted by a qualified STSM, who may be the Agent. The examination will be sufficiently comprehensive for the STSM to conclude that the participant has the requisite knowledge to carry out the duties and responsibilities of the position.

If a supervisor does not feel comfortable conducting an oral examination for a particular competency, several options are available. The supervisor may have an SME present during the oral examination. The supervisor could conduct the interview with advice from the SME or observe and evaluate a candidate's responses to the SME's questions. Another option is to solicit potential questions with expected responses from an SME and conduct the oral examination alone with the candidate.

The supervisor or cognizant Agent forwards copies of completed qualification cards to the NNSA TQP Manager. All original qualification cards shall be

maintained by the candidate. The Site office may also retain copies for a local training file. The NNSA TQP Manager prepares a certificate of completion for the Agent and forwards a copy of the candidate's qualification cards to Enterprise Training Services (ETS) for inclusion in the candidate's official training file. The Agent or an appropriate element official signs the certificate. A copy of the signed certificate is sent to the ETS for placement in the employee's official training record. An appropriate individual, such as the field element manager, presents the certificate to the employee at a suitable meeting or awards ceremony.



The NNSA Qualification Process

- i. Time Limits. Once a TQP participant's position qualification card has been established, the employee has 18 months to complete the qualification process. Supervisors may reduce or extend the standard 18-month initial qualification period (or requalification period where TQP requalification is required by the DOE FAQs) when conditions beyond the employee's control warrant an extension, such as military leave, resource constraints, and changes in position responsibilities. The supervisor shall notify the cognizant Agent of any extension and the justification for the extension. The cognizant Agent shall send notice of

any extension to the NNSA TQP Manager, who updates and maintains the NNSA TQP Progress Matrix.

The supervisor shall establish an appropriate qualification date (time limit) for a TQP participant who transfers positions, and keep the cognizant Agent and the NNSA TQP Manager apprised of assigned qualification dates.

The supervisor shall periodically review employee qualification progress and take appropriate actions to provide the employee adequate time for qualification, limit the employee duties if necessary, or modify the time limit. With the first time-limit extension, the supervisor shall establish a corrective action plan with a target date for the completion of qualification, normally within 6 months. The plan becomes part of the participant's qualification record. If the participant does not complete the action plan and qualification by the established target date, the issue is elevated to the second-level supervisor for resolution.

j. Changing Position Responsibilities.

- (1) Change of Position Responsibilities in Current Position. Over the course of time, the supervisor may decide to change responsibilities assigned to a position. When changes affect the requisite competencies or level of competence of a position, the supervisor shall notify the FTCP Agent and the NNSA TQP Manager, and initiate a reevaluation of the qualification standard package. The supervisor should decide if the currently assigned FAQs is still appropriate. If not, the appropriate FAQs should be assigned to the participant through the NNSA TQP Manager. If the participant was issued a PSS, this standard should be reviewed and revised using the process described in paragraph 4.c.
- (2) Transfer of TQP Qualifications from Other Offices. A goal of the TQP is transportability. It is desirable to accept qualifications from other offices because it supports the principle of transportability, may avoid significant training cost, and enable the employee to contribute sooner to the accomplishment of the NNSA element's mission. When an employee transfers from another DOE office to a position that requires participation in the NNSA TQP, the supervisor first identifies the required FAQs and decides if a PSS is required. If a PSS is required and one is not available, the process described in paragraph 4.c. to develop the PSS should be followed. Once the requirements have been identified, the QO, normally the supervisor or SME(s) appointed by the supervisor, conducts a review of the employee's previous qualifications to determine which are transferable to the NNSA TQP. Acceptance of transferred qualifications is at the discretion of the QO. If the QO is satisfied that all the

qualification requirements are transferable, the supervisor notifies the FTCP Agent and the NNSA TQP Manager, who updates the NNSA TQP Progress Matrix.

If a new FAQS or a PSS is required, the supervisor should follow the procedure in paragraph 4.c. to issue a qualification package.

- k. Duty Limitations. During the qualification process, the supervisor, Agent, or element manager shall determine and document any limitations on the TQP participant's duties, such as the extent to which the participant can provide management direction or oversight of contractor technical activities that could adversely affect safe and secure operations at defense nuclear facilities.

In most cases, TQP participants in the qualification process continue with assigned duties while they complete their qualification. A TQP participant is considered qualified when the employee has attained the competencies required for the duties of the position and the TQP process is complete. In the case of a new employee or an employee transferring positions, the supervisor, Agent, or element manager shall determine the extent to which assigned duties should be limited.

In general, employees on detail assignments of less than 90 days will not be placed in the TQP, unless they are already in the TQP. It is assumed that while on a detail, the person has the minimum qualifications for the assignment and that the supervisor will provide adequate oversight to ensure safety is not jeopardized.

In the case where a TQP participant is found not qualified until completion of the qualification process, assigned duties shall be limited. When assigned duties are limited, the supervisor must clearly delineate those duties that the employee is or is not allowed to perform independently. Until the completion of qualification, the employee may work under the direct supervision of a qualified employee in that subject area.

Participants who exceed a requalification date remain qualified, but the supervisor may consider the use of duty limitations or compensatory measures. Supervisors may also consider the use of duty limitations or compensatory measures when a candidate fails to meet continuing training requirements.

In limited cases, an executive or senior manager who has a broad expertise needed for the position may have limited technical expertise for STSM responsibilities. In this case, a senior manager who directly reports to that manager and who meets educational and experience requirements (preferably a qualified STSM) must be identified as assuming the STSM responsibilities for that manager. The Agent is

responsible for determining and documenting appropriate compensatory measures for STSM positions.

1. Continuing Education. A TQP participant must complete all training required by law or regulation, for example, Hazardous Waste Operations and Emergency Response Training, and General Employee Radiological Training, within the specified time limits.

Once qualification is completed, the employee and immediate supervisor jointly establish continuing training needs to ensure the participant continues professional development and maintains technical competence. Learning activities to meet this requirement shall be documented in the IDP.

TQP participants shall improve their performance and proficiency and ensure that they stay up-to-date on changing technology and new requirements through continuing education and training. In particular, participants should maintain a current level of knowledge of the Standards, Orders, Guides, and regulations that are included in their current qualification package.

Continuing education and training providers include the following:

- (1) Department of Energy
- (2) Other government agencies
- (3) Outside vendors
- (4) Educational institutions

Beyond formal classroom and computer-based courses, continuing training may include:

- (1) Self study
- (2) Attendance at symposia, seminars, exhibitions
- (3) Special assignments
- (4) On-the-job experience

A description of suggested learning proficiency activities and the requirements for the continuing education and training program for some FAQs are included in the document.

The participant is expected to participate in other activities to support ongoing learning. Examples include corporate operating experience/lessons-learned programs and other efforts to foster awareness of DOE/NNSA accidents, near misses, etc., and their implications for the participant's assigned responsibilities.

Completion of the continuing training activities identified in a participant's functional area qualification standard satisfies requalification requirements for all

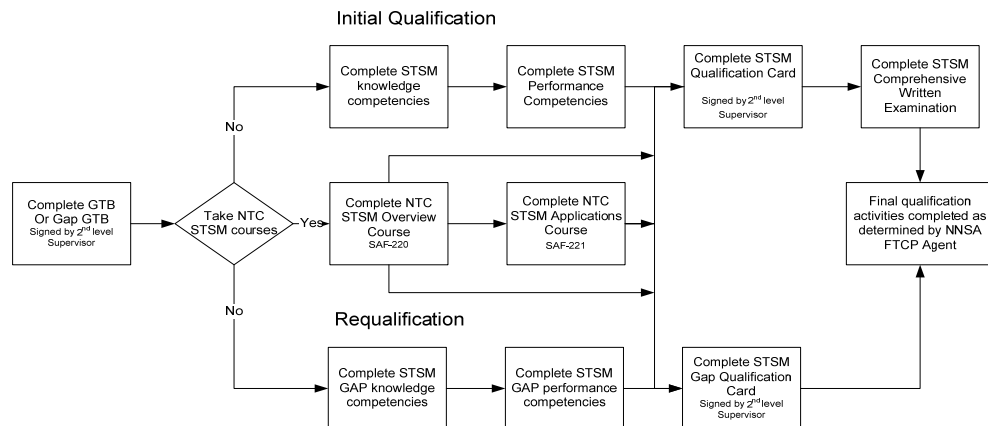
NNSA TQP participants except STSMs and facility representatives, who shall undergo a review of competency requirements every 5 years and 3 years respectively from the date of their most recent qualification. Copies of documented evidence of continuous training accomplishment shall be sent to the NNSA TQP Manager for inclusion in individual permanent training files.

Line managers may choose to require direct reports to undergo a review of competency requirements every five years from their most recent qualification date as part of requalification. If exercised, this option does not alleviate the requirement for direct reports to complete continuing training.

- m. STSM Requalification. STSMs shall undergo a review of competency requirements every 5 years from the date of their initial qualification to conform to DOE-STD-1175-2006 (STSM Functional Area Qualification Standard). FTCP Agents may revise or extend the standard 5-year period when conditions warrant an extension.

Eighteen months prior to an individual's requalification date, the NNSA TQP Manager shall notify the TQP participant and the cognizant Agent. If requested, the NNSA TQP Manager shall provide copies of the current STSM FAQs and card and the GTBQS and card. If either of these standards has been revised since the date the participant last qualified, the NNSA TQP Manager shall also include a copy of the appropriate gap card. If there have been no changes in the standards and the participant's responsibilities have not changed, the Agent will initiate the final qualification activity. Upon the participant's completion of qualification activities, the Agent signs the qualification cards and sends a copy of the completed cards to the NNSA TQP Manager, who will issue a completion certificate. The STSM retains the original signed qualification cards. If changes have been made to the standards, the Agent and TQP participant shall follow the process described in paragraph 4.g. to complete the requalification process.

**Senior Technical Safety Manager (STSM) Qualification Process for
NNSA HQ and SC Initial Qualification and Requalification**



n. Administration.

The NNSA TQP Manager administrative responsibilities are the following:

- (1) Administer the TQP for all NNSA sites.
- (2) Maintain all necessary TQP documents and databases.
- (3) Provide corporate training support to TQP participants to meet TQP programmatic requirements.
- (4) Provide real-time status reports.
- (5) Coordinate feedback and improvement efforts on the TQP.

The NNSA TQP Manager responsibilities for maintaining the TQP process are as follows:

- (1) Ensure the following are located on the NNSA Web site:
 - a) Current FAQs and GTBQS and cards
 - b) Current Technical Qualification Program Plan and NNSA *TQP User's Guide*
 - c) Current Qualifying Official list
 - d) List of professional certifications that may be considered for equivalences.
- (2) Ensure copies of completed, signed qualification cards are sent to the ETS to be placed in the participants' official training files and additional copies are retained in the LCDD.
- (3) Issue certificates of qualification and certificates of completion for final examinations and ensure copies of the signed certificates are sent to the ETS for filing in the participants' official training file.

- (4) Provide real-time reports to supervisors on TQP progress of employees.
- (5) Provide quarterly summary reports to the Agents on TQP progress.
- (6) Provide final examinations for most FAQss and the GTBQS.
- (7) Maintain the TQP Qualification Progress Matrix, a master TQP participant list.
- (8) Ensure TQP participants are given Internet access to the matrix when they are issued their qualification standards and that the matrix is accessible online.

TQP participants should ensure that the TQP database is updated when individual competencies have been completed.

Site Office Manager, Agent, and supervisor responsibilities for generating, approving, and transmitting TQP documents are summarized below. For detailed information related to managerial and administrative responsibilities, refer to paragraph 5 and the *NNSA TQP User's Guide*.

Site Office Manager administrative responsibilities are the following:

- (1) Appoint an agent and transmit a notice via e-mail to the NNSA TQP Manager to announce the delegation of an Agent.
- (2) When serving as the second-level supervisor for a participant, conduct the final interview, review documentation, and sign the qualification cards. Copies of the signed qualification cards are then sent to the NNSA TQP Manager, who will issue a certificate of qualification. Original qualification cards are maintained by the TQP participant.

FTCP Agent administrative responsibilities are as follows:

- (1) Transmit a notice to the FTCP Chair and the NNSA TQP Manager when an individual is assigned STSM responsibilities.
- (2) Review, approve, and sign the QO attestation form and transmit it to the NNSA TQP Manager, who will add the individual's name to the official QO list.
- (3) Review and approve participants who enter into the TQP.
- (4) When serving as the qualifying official for an STSM, review documentation and sign the qualification cards.
- (5) Submit the FTCP quarterly report to the FTCP Chair. The LCDD provides the TQP information for the report.

Supervisor administrative responsibilities are as follows:

- (1) Evaluate positions for inclusion in the TQP and transmit a notice to the Agent and the LCDD of changes, either in positions or participants, as they pertain to the TQP.

- (2) When serving as the QO for a participant, review documentation and sign the qualification cards when all competencies have been completed. As competencies are completed, they should be entered into the TQP Qualification Progress Matrix.
- (3) Nominate SMEs as QOs for specific competencies, ensure that they complete the QO orientation, sign the QO attestation form, and submit it to the cognizant Agent for approval.
- (4) Develop a PSS and associated qualification card with the TQP participant. If desired, send the PSS and associated qualification card to the NNSA TQP Manager, who reviews them to ensure consistency across NNSA, and then to the Agent for final approval. The supervisor may request assistance in developing PSSs from the NNSA TQP Manager.
- (5) Conduct the initial evaluation of the participant's qualifications soon after the standards are issued. The number of competencies remaining to be satisfied after the evaluation should be entered into the TQP Qualification Progress Matrix. Detailed instructions for completing the evaluation are in the NNSA TQP User's Guide.

Technical training needed to meet a participant's TQP competency requirements are mandated training, and should be considered priority 2 training, or if it's also required by regulation, priority 1. Offices are expected to request adequate training and travel budgets to allow qualification requirements to be fulfilled.

The NNSA TQP Manager provides assistance as requested for FTCP self-assessments of TQP implementation in accordance with the requirements of DOE M 426.1-1A.

- o. Documentation of Learning Activities. IDPs are established and updated during the annual performance appraisal process. They reflect employee training or learning activities required or recommended during the performance review, including those activities required under the TQP. Completion of TQP requirements, including continuing education, is factored into the individual's performance plan.

IDPs should be maintained to provide objective evidence that a participant is actively engaged in a continuing education program to maintain his/her qualification status.

The NNSA TQP Manager shall provide a link on the NNSA web site to qualification card templates for the GTBQS and all FAQs. Each participant should ensure qualification cards are maintained under secure conditions to prevent unauthorized modifications or use of these records. The participant should ensure that the QO certifying a given competency is authorized to sign that

particular competency. The NNSA TQP Manager shall maintain the list of QOs and make updates of the list available to TQP participants through the NNSA web site.

5. RESPONSIBILITIES.

a. Administrator, NNSA.

- (1) Approve policy requirements and processes for the implementation of the TQP within the NNSA Complex.
- (2) Direct the implementation of the Technical Qualification Program Plan for Federal Personnel with Safety Responsibilities for Defense Nuclear Facilities at NNSA elements except Naval Reactors and the Kansas City Site Office.
- (3) Appoint an NNSA Headquarters Agent who will serve as the lead Agent within NNSA.
- (4) Provide sufficient resources to satisfy the commitments of this plan.

b. NNSA Headquarters/Lead Agent.

- (1) Oversee the implementation of the FTCP, including the TQP, at NNSA elements.
- (2) Serve as the lead NNSA Agent and provide overall direction for the NNSA TQP, including considerations of needed programmatic consistency.
- (3) Develop policy, with input from the other Agents, for the NNSA TQP to define how NNSA will conform to DOE TQP requirements (e.g., establish equivalency, testing, and certification requirements).
- (4) Obtain policy approval, through approval of this plan and its revisions.
- (5) Assist elements in identifying sufficient resources to satisfy the commitments of this plan.

c. Associate Administrator for Management and Administration.

- (1) Ensure that NNSA conducts an annual workforce analysis, as required by DOE M 426.1-1A, Federal Technical Capability Manual, to identify critical technical capabilities and positions that must be maintained to ensure safe operations at defense nuclear facilities.
- (2) Support the inclusion of the TQP in hiring and selection processes, as appropriate.
- (3) Identify and obtain sufficient resources to satisfy the commitments of this plan.

d. Field Element Managers.

- (1) Ensure that the TQP is fully implemented in their organizations as described in this plan.
- (2) Appoint an Agent to serve as the TQP sponsor and champion at their elements.
- (3) Identify STSM positions within their elements.
- (4) Ensure a balanced level of competence is maintained across their elements to meet the diverse programmatic and mission needs.
- (5) Optionally, add positions or individuals as TQP participants even though they may not otherwise be required to be in the TQP. These positions or individuals should be responsible for safety, health, or environmental protection in science or technology-intensive facilities.
- (6) Identify and obtain sufficient resources to satisfy the commitments of this plan.

e. Agents.

- (1) Maintain qualification as an STSM in the NNSA TQP.
- (2) Provide quarterly status reports to the Panel and regular briefings on the status of the TQP to their managers. Ensure field element management team members are informed of the status of complex-wide high priority initiatives related to the FTCP.

- (3) Represent their NNSA element on the Panel. Elevate TQP implementation issues from within their element, as appropriate, to the field element or NNSA Service Center Director.
- (4) Work with the supervisors who have positions in their organization in the TQP but who are not themselves in the TQP, in the identification of competencies required by a position.
- (5) Participate in the identification of STSMs for their organizations, and be responsible for notification of the Panel and the NNSA TQP Manager regarding any changes to their element's list of STSMs, either positions or individuals.
- (6) Approve SMEs to serve as QOs and forward their names to the NNSA TQP Manager, so the required QO training can be arranged.
- (7) Make final decisions on positions nominated to the TQP.
- (8) Ensure the documentation of any equivalencies for STSMs and identification and coordination of compensatory measures, if necessary.
- (9) Serve as the QO for STSMs.
- (10) Review STSM vacancy announcements and PDs for conformance with office and Federal Technical Capability Manual requirements.
- (11) Work with the NNSA Headquarters/Lead Agent, other Agents, and the NNSA TQP Manager to ensure integrated execution of the TQP across NNSA.
- (12) Perform other responsibilities as described in DOE M 426.1-1A, including conduct of periodic self-assessments of the TQP. Use the performance objectives and criteria from DOE M 426.1-1A to evaluate the effectiveness of the TQP.
- (13) Ensure there is an appropriate continuing training program implemented at their site.
- (14) Note: The Agents, with the support of the Service Center Office of Human Capital Management Services, are responsible for maintaining field element lists of critical positions and associated workforce analysis plan. This includes the various lists requested by NNSA and other

entities. The Agents coordinate these lists with their managers and with Human Resources, and provide information related to critical positions when requested. This is an FTCP responsibility. It is related to, but not included within, the TQP.

- (15) Assist Field Element Managers in identifying sufficient resources to satisfy the commitments of this plan.

f. Immediate Supervisors.

- (1) Evaluate positions for inclusion in the TQP, according to the criteria and processes described in this plan.
- (2) Notify the Agent and the NNSA TQP Manager in writing of changes in positions or participants in the TQP.
- (3) Serve as the QO for all competencies of supervised employees, except for STSMs or those specifically delegated to an SME.
- (4) Nominate SMEs as QOs for specific competencies and submit their names to the cognizant Agent for approval.
- (5) Develop a PSS and associated qualification card with the TQP participant. If desired, send the PSS and associated qualification card to the NNSA TQP Manager, who reviews them to ensure consistency across NNSA, and then to the Agent for final approval.
- (6) Ensure that employees are properly qualified; determine when employee duties require limitations and document any duty limitations.
- (7) Provide adequate time for employees to qualify.
- (8) Notify the NNSA TQP Manager when time extensions have been granted and the justification for the extension.
- (9) Support the implementation of the TQP by ensuring that individuals assigned to support the TQP have ample time to perform that work.
- (10) Approve employee learning activities.
- (11) Monitor employee progress towards qualification in the TQP, and incorporate an acceptable rate of progress into performance plans.

- (12) Recommend an employee who has achieved the required level of competence to the second-level supervisor (or Agent) for certification.
- (13) Ensure employees have a statement about assignment to the TQP and qualification time periods reflected in their PD.
- (14) For supervisors who have positions in their organization in the TQP but who are not themselves in the TQP, the Agent assists the supervisors in the identification of competencies required by a position.
- (15) Ensure that employees participate in continuing education and training as necessary to maintain performance and proficiency.
- (16) Develop, administer, and document final evaluation activities to verify adequate breadth and depth of knowledge of competencies in qualification standards.

g. Second-Level Supervisors.

- (1) Certify final qualifications of TQP participants upon the recommendation of their immediate supervisor and review of documentation, including the participant's qualification card and the results of a comprehensive written examination, oral examination, a site/facility walkthrough, or some combination of these options. The second-level supervisor may participate in the oral exam or walkthrough leading to final qualification.
- (2) Resolve any issues between first-line supervisors and employees regarding the TQP.

h. Service Center Office of Human Capital Management Services Manager.

- (1) Support NNSA Agents in the coordination of workforce analysis and critical position lists within NNSA.
- (2) Support inclusion of the TQP in hiring and selection processes at HQ, Site Offices, and the Service Center.

i. Service Center LCDD Manager.

- (1) Designate a NNSA TQP Manager to administer the NNSA TQP.

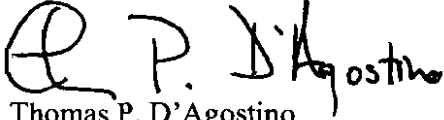
- (2) Plan and provide resources needed for the successful coordination of the NNSA TQP.
 - (3) Ensure the Technical Qualification Program Plan for Federal Personnel with Safety Responsibilities for Defense Nuclear Facilities is administered for all NNSA elements except Naval Reactors and the Kansas City Site Office, and that the program is well-integrated with the NNSA mission, priorities and Human Capital Management initiatives.
 - (4) Provide support for employee learning, evaluation, and certification in the NNSA TQP. Arrange opportunities for employees to complete learning activities through both in-house and external means.
- j. NNSA TQP Manager.
- (1) Administer the NNSA TQP for all NNSA sites.
 - (2) When requested, support supervisors with the evaluation process to determine if a position is included in or excluded from the TQP.
 - (3) When requested, support the analysis to identify the required competencies in the PSS and its associated qualification card.
 - (4) Manage the examination bank, protecting its integrity and keeping its content current.
 - (5) Maintain all necessary TQP documents and records as described in this plan, including approved position specific standards (PSS). Forward applicable documents to the ETS for inclusion in personnel training files.
 - (6) Maintain a database of all positions by site that are in the TQP, based on formal notifications from supervisors.
 - (7) Provide guidance, as needed, on vacancy announcements and PDs for vacant or new positions with significant safety responsibilities at defense nuclear facilities.
 - (8) Provide real-time reports to supervisors on TQP progress of employees and a quarterly summary report to the Agents on TQP progress.
 - (9) Provide self-assessments of TQP implementation. Implement recommended actions for the continuous improvement of NNSA TQP processes and procedures.

- (10) When requested, support the development and implementation of appropriate continuing training programs.
 - (11) As functional area standards are revised, develop gap qualification cards that outline the differences between the last and latest version of the standard.
- k. Qualifying Officials.
- (1) Complete qualifying official training and sign the attestation form and provide it to the requesting supervisor.
 - (2) Evaluate participants' completed competencies on and sign qualification cards.
 - (3) Assist in the development of the examination bank for their area of expertise; protect the integrity of the exam bank by following required protocols.
 - (4) Maintain a working knowledge of the TQP and their technical areas. Stay current with the status of assigned functional area qualification standard revisions. Keep the NNSA TQP Manager informed of issues that could affect the NNSA TQP.
- l. TQP Participants.
- (1) Identify and complete the learning activities necessary to achieve competency.
 - (2) Complete qualification requirements within the time limit. Bring issues preventing them from completing the qualification to the attention of their supervisor.
 - (3) Identify work duties, including new or additional duties, for which they are not qualified and inform their supervisors.
 - (4) Agree, when indicated as a condition of employment, to participate in the TQP and to achieve qualification within the agreed time schedule.
 - (5) Provide the required demonstration of competence to the respective QO(s) for documentation when already qualified.

- (6) Participate in appropriate continuing training program once initial qualification is achieved.

6. REFERENCES.

- a. DOE Revised Implementation Plan for DNFSB Recommendation 93-3, Improving DOE Technical Capability in Defense Nuclear Facilities Programs (5/98)
 - b. DOE P 426.1, Federal Technical Capability Policy for Defense Nuclear Facilities (12/98)
 - c. DOE O 360.1B, Federal Employee Training (10/01)
 - d. DOE M 360.1-1B, Federal Employee Training Manual (10/01)
 - e. DOE M 426.1-1A, Federal Technical Capability Manual (5/04)
 - f. NNSA TQP User's Guide (12/04)
 - g. DOE Technical Qualification Standards (various)
7. CONTACT. Manager, Learning and Career Development Department, (505) 845-5406.


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