

SUPPLEMENTAL DIRECTIVE

NNSA SD 426.1

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**TECHNICAL QUALIFICATION PROGRAM
(TQP)**



**NATIONAL NUCLEAR SECURITY ADMINISTRATION
Management and Budget**

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OFFICE OF PRIMARY INTEREST (OPI):
Learning and Career Management

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TECHNICAL QUALIFICATION PROGRAM (TQP)

1. **PURPOSE.** To establish and document a universal process to implement the National Nuclear Security Administration (NNSA) Technical Qualification Program (TQP) as required in Department of Energy (DOE) Order (O) 426.1A, *Federal Technical Capability Program*. This NNSA standardized process assigns roles and responsibilities and provides instructions for establishing, maintaining, monitoring, and evaluating qualification training processes and activities to pursue TQP accreditation.
2. **AUTHORITY.**
 - a. DOE O 426.1A, *Federal Technical Capability Program*, or successor Order. No provisions in DOE O 426.1A are contradicted, deleted, or duplicated in this Supplemental Directive (SD).
 - b. SD 251.1A, *Directives Management*, issued under the authority of 50 United States Code (U.S.C.) 2402, Administrator for Nuclear Security, which gives the Administrator authority to establish NNSA-specific policies, unless disapproved by the Secretary.
3. **CANCELLATION.** None
4. **APPLICABILITY.**
 - a. **Federal.** This SD applies to NNSA federal elements as follows:

Personnel assigned to, or performing the functions of, a designated federal TQP position, which includes employees on extended detail or a temporary assignment of 90 days or longer.
 - b. **Contractors.** This SD does not apply to contractors.
 - c. **Equivalencies/Exemptions:**
 - (1) **Equivalency:** In accordance with the responsibilities and authorities assigned by Executive Order 12344, codified at 50 U.S.C. sections 2406 and 2511, and to ensure consistency throughout the joint Navy/DOE Naval Nuclear Propulsion Program, the Deputy Administrator for Naval Reactors (Director) will implement and oversee requirements and practices pertaining to this Directive for activities under the Director's cognizance, as deemed appropriate.
 - (2) **Exemptions:** Requests for exemptions will be handled on a case-by-case basis and must be approved by the NNSA TQP Manager, the NNSA Principal Federal Technical Capability Panel (FTCP) Agent and the Administrator. The requesting office must submit a formal memorandum for the exemption citing specific actions to be taken in lieu of the requirements outlined in this SD.

5. SUMMARY OF CHANGES. Not applicable.

6. BACKGROUND. The following assumptions are provided as background:

- a. There is one principal Headquarters (HQ) Federal Technical Capability Panel (FTCP) Agent located in the Chief of Defense Nuclear Safety (CDNS), Office of Safety, Infrastructure and Operations, who will coordinate with the FTCP and field office FTCP Agents (see c. below).
- b. The HQ FTCP Agent is the signing authority and represents HQ program offices.
- c. There is one field office FTCP Agent for each field office that is the signing authority and represents their respective field office.
- d. Each FTCP Agent liaises on overall general matters (e.g., face-to-face TQP meetings, final program decisions) with the NNSA Learning and Career Management (LCM) TQP Manager (hereinafter referred to as NNSA TQP Manager), on cross-cutting NNSA TQP matters.
- e. Hereinafter in this document, if the text states *FTCP Agent* it refers to both b. and c. above. If the text specifies either *HQ FTCP Agent* or *field office FTCP Agent*, it refers to the one specified.
- f. Accreditation demonstrates that headquarters and field organizations in NNSA have an effective program in place to confirm the technical competency of “technical employees whose duties and responsibilities require them to provide assistance, guidance, direction, oversight, or evaluation of contractor activities that could affect the safe operation of a defense nuclear facility.” (DOE O 426.1A) Accredited organizations are recognized for having programs and processes in place that adhere to established objectives and criteria for an effective TQP. Accreditation confirms the consistent application of TQP requirements across the Department, thereby facilitating the transportability of qualifications when an individual moves from one organization to another. The NNSA TQP Manager supports the accreditation process by providing guidance and continuing training materials to TQP participants as defined in this SD.

7. REQUIREMENTS.

- a. The instructions in this SD must be implemented at each site under the oversight of the respective FTCP Agent.
- b. Future NNSA qualification activities and other requirements outlined in TQP Functional Area Qualification Standards (FAQSs) must be conducted and documented in accordance with the requirements of this SD.
- c. TQP must be maintained in accordance with Appendix 2: Process, of this SD.

8. RESPONSIBILITIES.

a. Deputy Administrators, Associate Administrators, Field Office Managers (FOMs).

- (1) Ensure the organizational TQP meets DOE and NNSA TQP requirements.
- (2) Provide funding and staff resources for implementing TQP.
- (3) Designate a field office FTCP Agent for their site (FOMs only).
- (4) Designate an organizational TQP Coordinator.
- (5) Approve the office's submittal of any TQP ad-hoc reporting requirements, if necessary. HQ program office data will be coordinated and consolidated by the HQ FTCP Agent; field offices will furnish their own reports (Section 6.b.).
- (6) Designate NNSA federal positions that are required to participate in the TQP and the technical qualification standards assigned to those positions. (Appendix 2.a.)
- (7) Confirm unbroken chain of documentation (reporting structure) for qualified Senior Technical Safety Managers (STSMs).
- (8) Chairs, or designates a qualified STSM to chair required oral boards or delegates responsibility for board membership.

b. NNSA TQP Manager.

- (1) Maintains the master list of TQP participants and the progress toward qualification in the NNSA TQP Matrix.
- (2) Develops TQP products, such as FAQs study and reference guides, final qualifying exams, and continuing training materials.
- (3) Provides a report each quarter to TQP Coordinators that identifies TQP participants who are required to requalify in the next 18 months.
- (4) Supports the TQP Coordinator, as requested by individual organizations.
- (5) Processes each participant's Position Evaluation Questionnaire (PEQ) (or like documentation) and adds the participant to the NNSA TQP Matrix.
- (6) Maintains the NNSA list of Qualifying Officials (QOs).
- (7) Maintains an electronic copy of QO attestation forms.

- (8) Provides electronic copies of legacy documentation, if applicable, to the TQP coordinator prior to creating records in electronic TQP (eTQP).
 - (9) Supports TQP continuing training (e.g., Continuing Training Progress Tracker [CTPT] training information, database, and requirements for TQP participants) and issues CTPTs to organizations for participants each year, in alignment with the IDP open season.
 - (10) Issues a qualification package that includes the General Technical Base (GTB), FAQss, and cards to TQP candidates, as requested.
 - (11) Develops and provides written examinations to requesting training organizations, as requested.
 - (12) Develops FAQs qualification cards and FAQs gap cards as requested.
 - (13) Develops Office/Facility/Position-specific Qualification Standards (O/F/PSQSs), as requested.
 - (14) Assists sites in TQP assessments, as requested.
 - (15) Provides guidance on initiatives to facilitate continuous improvement.
 - (16) Provides certificates for TQP accomplishments to the FTCP Agent for TQP participants as requested.
 - (17) Serves as lead on TQP programmatic initiatives (e.g., NNSA position standard, NNSA consensus input to FTCP, DOE National Training Center (NTC) training initiatives, etc.).
 - (18) Provides continuing training materials such as fact sheets, study guides on changes to DOE directives, federal regulations, industry standards, as well as training packages once a month.
 - (19) Represents LCM's equities in TQP forums.
- c. The Office of Safety, Infrastructure and Operations, Chief of Defense Nuclear Safety (CDNS).

Assigns an STSM as the principal NNSA HQ FTCP Agent to the DOE FTCP and designates STSMs as principal and alternate NNSA HQ FTCP Agents. (Section 6.)

d. Federal Technical Capability Panel (FTCP) Agent.

Note: The principal HQ FTCP Agent participates with field office FTCP Agents within the FTCP and implements the TQP across NNSA. For field office designation see Section 6.c. The field office agent may further delegate responsibilities in writing to STSM-qualified FOMs or Deputy FOMs.

- (1) Oversees implementation of TQP as outlined in DOE O 426.1A and within this SD.
- (2) Establishes rigor in the TQP process and champions corporate expectations and commitment for those participating in the TQP process (senior management, supervisors, Qualifying Officials [QOs], TQP participants, TQP Coordinator, etc.) to establish rigor in processes and diligence in performing roles and responsibilities and adhering to SD instructions.
- (3) Represents NNSA as a member of the FTCP, supports the panel as necessary and champions issues and communicates information between the FTCP and the HQ program or field office.
- (4) Approves TQP-related actions as identified throughout this document (unless delegated in writing). The HQ FTCP Agent is the official approver for HQ program offices, and each field office FTCP Agent is the official approver for their assigned office.
- (5) Makes certain TQP is linked to Human Resources (HR) (e.g., vacancy announcements, selection criteria, Individual Development Plans [IDPs]).
- (6) Confirms organizational QOs are trained in accordance with the current revision of DOE O 426.1A or successor Order, and the requirements outlined for QO training in this SD.
- (7) Coordinates completion of required reporting requirements (e.g., NNSA FTCP Annual Workforce Analysis and Staffing Plan, FTCP TQP Quarterly Reports, ad hoc data calls).
- (8) Achieves STSM qualification prior to designation and maintains STSM qualification.
- (9) When required, the FTCP HQ Agent, (for HQ program offices), or the FOM, or designee may serve as the supervisor for actions required to facilitate qualification.
- (10) Provides guidance to author(s) of O/F/PSQs to follow a development process consistent with Appendix 2 m. of this SD.

e. Alternate FTCP Agent.

- (1) Performs the duties of the HQ or field office FTCP Agent as assigned in Section 8.d., in the absence of the FTCP Agent.
- (2) Achieves STSM qualification prior to designation and maintains STSM qualification.

f. Second Level Supervisor.

- (1) Maintains STSM qualification when assigned line responsibility and supervision of personnel who oversee safety of operations. **Note:** If, in initial STSM qualification, interim limitation and compensatory measures are required to identify the unbroken chain of STSM command.
- (2) Confirms STSM participant assignments or interim limitation and compensatory measures are in place to maintain an unbroken chain in the reporting structure of STSMs.
- (3) Facilitates recruitments to fill open TQP positions with technical, qualified individuals.
- (4) Concurs in specific qualification requirements and requalification activities as presented by supervisors.
- (5) In cooperation with the supervisor, approves final completion of TQP participant qualification and requalification.
- (6) Attends training prescribed by the NNSA TQP Manager or FTCP Agent.

g. First Level Supervisor.

- (1) Maintains STSM qualification when assigned line responsibility and supervision of personnel who oversee safety of operations. **Note:** If supervisor is in initial STSM qualification, interim limitations and compensatory measures are required to identify the unbroken chain of STSM command.
- (2) Establishes STSM assignments or interim limitation and compensatory measures to maintain an unbroken chain in the reporting structure of STSMs.
- (3) Evaluates technical position duties and determines if the position should be included in the TQP consistent with Appendix 2 a., and assigns TQP participants FAQs per Appendix 2 b. as appropriate.

- (4) Confirms linkage between TQP and HR processes to include the following actions:
 - (a) Informs the FTCP Agent when a position or personnel action is proposed relating to a TQP position, such as recruiting new staff, reorganizations or reassignments, and rotations (details).
 - (b) Obtains FTCP Agent concurrence for STSM vacancy announcements.
 - (c) Includes a statement that identifies that the position is subject to the TQP in position descriptions.
 - (d) Includes TQP requirements in employee's performance objectives and appraisals for each supervised TQP participant.
 - (e) Addresses TQP training needs in IDPs on an annual basis.
- (5) Develops or revises O/F/PSQSs as appropriate, and approves with FTCP Agent concurrence. Based on internal program or field office documentation, there may be no requirement for an O/F/PSQS. Organizational changes that require standardized knowledge across the organization, such as updates to DOE/NNSA directives, changes to organizational responsibilities in the NNSA Functions, Responsibilities, and Authorities (FRA), may be captured in the CTPTs, IDPs, FAQs, or required reading assignments. Development of any NNSA O/F/PSQSs pursuant to this SD will follow Appendix 2 m.
- (6) Conducts a review of TQP products received from the NNSA TQP Manager (e.g., FAQs study and reference guides, final qualifying exams) and, in consultation with the FTCP Agent, revises as appropriate to confirm an adequate level of quality. When applicable, provides feedback to the NNSA TQP Manager for consideration and possible incorporation of changes in applicable source documents.
- (7) Orients each new or transferred participant to the NNSA TQP, to include items such as the assignment of the GTB and FAQs, any applicable O/F/PSQSs, deadlines, use of QOs, status reporting, and qualification and continual learning processes needed to demonstrate competency commensurate with responsibilities.
- (8) Reviews transferred TQP participant records from other office TQP programs and coordinates the following with the TQP Coordinator:
 - (a) Documents acceptance of the other qualifications.
 - (b) Transfers records from the originating office into eTQP.

- (9) Facilitates TQP qualification process and identifies necessary resources to achieve and maintain qualifications to demonstrate technical competence (e.g. formal training, availability of Voluntary Consensus Standards, and attainment of applicable professional certifications [see specific requirements in FAQs]).
- (10) Completes QO training and authorizations in accordance with Appendix 2 j. of this SD and must be a QO for the FAQs in its entirety or specific competencies prior to signing off individual competencies as the QO, unless such competencies are general in nature (e.g., ability to perform an assessment, or basic communication skills). Attends other required training that may be prescribed by the NNSA TQP Manager or FTCP Agent.
- (11) Initiates and approves formal TQP documentation (e.g., formal training requests, continuing training documentation, equivalency requests, qualification cards, interim limitations and compensatory measures, time extensions) and coordinates with the TQP Coordinator on TQP actions.
- (12) Reports TQP status for employees, as requested.
- (13) Initiates actions (e.g., extensions, remediation plans) when personnel fail to meet qualification or requalification requirements within authorized deadlines and defines interim limitation and compensatory measures for duties requiring qualification in accordance with DOE O 426.1A or successor Order.
- (14) Imposes interim limitation and compensatory measures to either restrict the individual without adequate knowledge or skill, or identify those activities that must be performed under supervision of a qualified individual. Interim limitations and compensatory measures may include written restrictions to the types of task that can be assigned to the TQP participant outside of qualification (e.g., writing office procedures or assistance to non-nuclear facilities) or ensuring the TQP participant works with qualified staff that can oversee their performance and provide adequate “direction to, or oversight of, contractor technical activities that could affect the safe and secure operations at defense nuclear facilities” (DOE O 426.1A).

Note: These actions may address what adjustments will be made to aid in qualification.

- (15) Nominates QOs to the FTCP Agent for approval. Discusses corporate expectations of rigor, duties, and responsibilities with nominated QO to ensure roles and responsibilities are understood, and then approves the QO attestation form.

- (16) Evaluates the program effectiveness at regular intervals and serves as an advocate to resolve programmatic issues. Provides feedback to FTCP Agent.

h. Qualifying Official.

- (1) Completes the following training:
 - (a) National Training Center on-line QO training and specific internal training as identified by the FTCP Agent (Section 6.c.). **Note:** certificates or TQP Coordinator completion validation must be attached to the QO attestation form.
 - (b) Required 2-year QO refresh.

Note: If the QO is a supervisor, he or she must also complete the TQP module in the NNSA supervisory training.

- (2) Confirms TQP participants obtaining competency completion are able to demonstrate the required level of knowledge for a given competency identified in the GTB, FAQs and applicable O/F/PSQS.
- (3) Documents QO evaluations by including notes of evaluation considerations and by approving the TQP participant's qualification card and method of qualification in eTQP, or signing hardcopy until implemented in eTQP. This approval indicates the participant has the appropriate level of knowledge, or has performed the required actions, as identified in the associated qualification standard.
- (4) Saves written test materials, oral review questions, and notes on observations of performance.
- (5) Provides feedback to the FAQs sponsor to improve the quality of assigned FAQs and associated study or reference guides, as needed.
- (6) Maintains appropriate level of required knowledge in the applicable technical discipline. Requests removal from the QO list when no longer qualified or available to perform QO duties.

i. Technical Qualification Program (TQP) Coordinator.

Note: NNSA offices that have a TQP Coordinator vacancy in-house may coordinate with the NNSA TQP Manager to discuss available options for assistance that may be needed to support the overall coordinator role.

- (1) Performs overall program management for the organization's TQP.

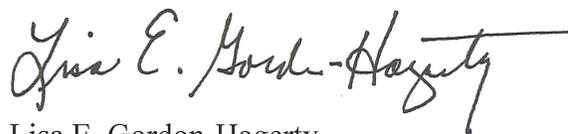
- (2) Assists supervisors in coordinating and completing TQP documentation and forms.
- (3) Develops and maintains the official records in eTQP and coordinates with the NNSA TQP Manager. Retains records other than in Appendix 2 q. in electronic format outside of eTQP (e.g., Workforce Analysis and Planning), as applicable.
- (4) Maintains organization's list of participants and QOs and provides updates to the NNSA TQP Manager.
- (5) Facilitates briefings and training sessions (e.g., TQP Overview, QO internal training) in coordination with the FTCP Agent.
- (6) Assists the TQP participants and managers in completing qualification and continuing training requirements, including facilitating status tracking and assisting with the annual training needs assessment.
- (7) For requalification, notifies supervisors and TQP participants 18 months prior to expiration of qualification.
- (8) Tracks and reports the status of TQP participants to the FTCP Agent and TQP participants' supervisors at regular intervals during the performance of qualification activities.
- (9) Supports supervisor in identifying training resources as requested.
- (10) Manages TQP feedback and improvement.
- (11) Supports efforts outlined in Appendix 2 m. to develop O/F/PSQSSs.
- (12) Supports the FTCP Agent as requested.

j. TQP Participant.

- (1) Completes TQP qualification, requalification, and continuing training requirements specified in this SD and the assigned FAQs.
- (2) Provides and maintains objective evidence for evaluation of competencies through documented education, experience, certification, or training.
- (3) Includes TQP training requirements in IDP.
- (4) Coordinates with the supervisor and TQP Coordinator at established intervals to discuss qualification status.

- (5) In coordination with the TQP Coordinator, includes a comprehensive and auditable copy of individual training and qualification files in eTQP. The eTQP database is used to document TQP records. Upload documentation for any courses that contributes to TQP qualification as supporting documentation for competencies within eTQP.
 - (6) Maintains individual profile in eTQP and confirms the accuracy of records loaded to the profile and assists the TQP Coordinator as requested for eTQP actions.
 - (7) Attends all training prescribed by the NNSA TQP Manager or FTCP Agent.
9. DEFINITIONS. See Appendix 3.
 10. ACRONYMS. See Appendix 4.
 11. REFERENCES. See Appendix 5.
 12. CONTACT. Learning and Career Management, 505-845-6651.

BY ORDER OF THE ADMINISTRATOR:



Lisa E. Gordon-Hagerty
Administrator

Appendixes

1. Requalification Documentation Sample
2. Process
3. Definitions
4. Acronyms
5. References

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APPENDIX 1: REQUALIFICATION DOCUMENTATION SAMPLE

MEMORANDUM FOR TQP PARTICIPANT

FROM: Supervisor

SUBJECT: Requalification Requirements and Documentation

In accordance with DOE Order 426.1A, *Federal Technical Capability Program*, and the Supplemental Directive 426.1, *Technical Qualification Program*, the activities listed below constitute the Functional Area Qualification Standard (FAQS) requalification requirements. Documentation requirements are as specified for each activity. The listed activities and documentation requirements are a contract between you and your supervisor, providing you a predictable set of requirements from which to effectively plan your requalification. Any revision to this list must be approved by your supervisor.

1. Completed gap card (attached), if applicable.

Documentation Required: Gap card (attached), signed by your supervisor and the Federal Technical Capability Panel (FTCP) Agent.

2. Summary Sheet of TQP participant's work activities since the current qualification annotating application of FAQS competencies (or annual Continuing Training Progress Trackers).

Documentation Required: Completion of the attached work.

3. If applicable, final qualifying activity of interview by supervisor or FTCP Agent.

Documentation Required: Completed Interview Record Sheet developed by supervisor or FTCP Agent.

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APPENDIX 2: PROCESS

a. Hiring/Reassigning Technical Staff Members.

- (1) The supervisor of the proposed position must evaluate the technical position's duties and determine if the position should be included in the Technical Qualification Program (TQP) based on criteria in DOE O 426.1A, *Federal Technical Capability Program*. The positions required to participate must meet one of the following criteria:
 - (a) "Positions responsible for oversight or that provide assistance, guidance, or direction that could affect the safe operation of a defense nuclear facility." (DOE O 426.1A)
 - (b) Positions designated to be in the TQP by external requirements (Orders, standards, regulations, etc.).
 - (c) Positions identified to be in the TQP by the organization's management.
- (2) Designations are made by filling out a position evaluation questionnaire (PEQ), which can be found using the following path:
<https://nnsaportal.energy.gov/collab/na-mb/na-mb-40-lcm/na-mb-42-tqp/tqpdocs/Forms/forms.aspx>. As an alternative, a Federal Technical Capability Panel (FTCP) Agent may choose to use formal documentation designating TQP positions used to meet Appendix 2 a.(1) requirements rather than a PEQ. The supervisor must provide the completed form to the TQP Coordinator. TQP Coordinators should also maintain documentation for positions not designated in TQP (e.g., clarify why one position is not included in TQP when an identical position is included in TQP).
- (3) The TQP Coordinator or supervisor provides the PEQ to the FTCP Agent for approval.
- (4) FTCP Agent determines whether the PEQ should be approved or disapproved, documents that decision on the PEQ form, then returns the form to the TQP Coordinator.
- (5) If the approved PEQ indicates that the position is in the TQP, then the supervisor must reflect that this position is included in the TQP in the position description and vacancy announcement.

The Human Resources vacancy announcement must contain the following:

- 1 Details of the TQP, the importance of TQP to the National Nuclear Security Administration (NNSA) mission, and TQP accreditation;

- 2 A link to the appropriate Functional Area Qualification Standard (FAQS) showing required competency knowledge and skills required under the TQP;
 - 3 The 18-month timeline for initial qualification, unless otherwise specified;
 - 4 TQP initial qualification and continuing training as a condition of employment;
 - 5 Consequences if the TQP qualification requirements are not met.
- (6) The TQP Coordinator must retain a copy of the PEQ in the eTQP system.
 - (7) The TQP Coordinator maintains each approved PEQ that assigns the incumbent to a qualification standard in the eTQP and provides an electronic copy to the NNSA TQP Manager and incumbent.
 - (8) The supervisor completes a new PEQ when a position description changes the incumbent's duties to document any changes to the position's participation in TQP.
 - (9) The supervisor completes a new PEQ when an additional FAQS is assigned to an existing TQP participant.
 - (10) If a TQP participant is reassigned within the organization, the new supervisor will review the existing PEQ or create a PEQ to assign the individual to an FAQS.

b. Assignment of FAQS.

- (1) After submission of the PEQ and receipt of the subsequent participant's qualification package from the NNSA TQP Manager, the supervisor reviews it to confirm accuracy and completeness.
- (2) The supervisor must complete interim limitation and compensatory measures (example form is located at <https://nnsaportal.energy.gov/collab/na-mb/na-mb-40-lcm/na-mb-42-tqp/tqpdocs/Forms/forms.aspx>) for initial GTB, FAQS and applicable Office/Facility/Position-specific Qualification Standard (O/F/PSQS) assignments prior to the issuance of the qualification package by the TQP Coordinator. Interim limitations and compensatory measures may include written restrictions to the types of task assignments that can be assigned to the TQP participant outside of qualification (e.g., writing office procedures or assistance to non-nuclear facilities) or ensuring the TQP participant works with qualified staff that can oversee their performance and provide adequate "direction to, or oversight of, contractor technical activities that affect the safe and secure

operations at defense nuclear facilities.” (DOE O 426.1A). The supervisor is the interim limitation and compensatory measure signing authority if the supervisor is qualified under the TQP as a Senior Technical Safety Manager (STSM), possesses the same FAQs as the new participant, or the FTCP Agent approves through written authorization.

- (3) If the qualification package received from the NNSA TQP Manager is acceptable, the TQP Coordinator provides the qualification package to the TQP participant and the supervisor discusses the following with the TQP participant:
 - (a) The GTB, FAQs, and applicable O/F/PSQS qualification cards received from the NNSA TQP Manager.
 - (b) The three portions of TQP qualification:
 - 1 The General Technical Base (GTB) qualification standard (as applicable – issued with first FAQs assigned).
 - 2 The assigned FAQs(s).
 - 3 The O/F/PSQS, or other specific training requirements as defined by the organization.
 - (c) The TQP participant’s expected qualification completion date.
 - (d) The requirements necessary to complete qualification.
- (4) The supervisor facilitates arrangements for the TQP participant to attend any necessary training.
- (5) The supervisor designates appropriate Qualifying Officials (QOs) for the TQP participant. The supervisor informs the TQP participant of conditions, limitations, and boundaries for coordinating with the QOs to gain validation of competency completion. Supervisor can sign as QO if assigned as a QO for the FAQs or certain specific competencies.

c. Authorizing a Qualifying Official.

- (1) A supervisor nominates a QO and documents the nominee’s name and competency area(s) on the NNSA *QO Attestation Form* (<https://nnsaportal.energy.gov/collab/na-mb/na-mb-40-lcm/na-mb-42-tqp/tqpdocs/Forms/forms.aspx>), and requests FTCP Agent approval. QOs have the knowledge, skills, and abilities to instruct, query, and evaluate a TQP participant at the FAQs-designated level of subject matter knowledge. A QO may be qualified in the relevant FAQs or be designated to approve specific functional area competencies as they appear in other FAQs.

- (2) The FTCP Agent reviews the qualifications of the prospective QO and approves or disapproves the nomination after discussing QO expectations with the nominee.
 - (a) If the nomination is approved, the FTCP Agent forwards it to the TQP Coordinator. The TQP Coordinator puts the nomination in eTQP under the QO profile and coordinates with NNSA TQP Manager to add it to the QO list.
 - (b) If the nomination is disapproved, the FTCP Agent discusses it with the recommending supervisor and transmits the final decision to the supervisor.

Note: Approved QOs for specific competencies or standards are listed on the NNSA Enterprise Portal at <https://nnsaportal.energy.gov/collab/na-mb/na-mb-40-lcm/na-mb-42-tqp/Lists/qualofficials/Display.aspx>. This list is to manually populate the eTQP QO list.

- (3) The QO nominee completes required QO training and signs the *QO Attestation Form*. QO nominee returns the form to the supervisor.
- (4) The QO and FTCP Agent discuss corporate expectations of rigor, of being a QO to confirm roles and responsibilities are understood.
- (5) The QO's supervisor signs the *QO Attestation Form* and provides the original to the TQP Coordinator, who obtains the FTCP Agent approval and then forwards a copy to the NNSA TQP Manager.
- (6) The TQP Coordinator puts the signed original form in eTQP under the QO's profile.
- (7) The supervisor and TQP Coordinator are responsible for verifying the QO list and notifying the NNSA TQP Manager of any transfers, terminations, or other disqualifying actions.

d. TQP Participant Completion of Qualification Card Requirements.

- (1) After completing the learning method for each competency on assigned qualification standards, the participant must obtain applicable QO signatures on the associated qualification cards.

- (2) The TQP participant must keep a list of competency completion evidence to demonstrate the basis for their knowledge of each competency. The basis is organized by competency and expressed as a listing of completed FAQs (e.g., Facility Representative from a former position), formal training that has been completed, a list of documents that have been studied, or objective evidence of work that has been performed that demonstrates knowledge of each competency. (Appendix 2 f. regarding equivalencies.) The documentation must support completion of competency.
 - (a) The TQP participant contacts the assigned QO after completing preparation for evaluation of a competency. The TQP participant provides the designated QO with the FAQs, and any objective evidence that supports completion of the competency.
 - (b) The QO reviews the competency completion evidence provided by the participant and evaluates completion using methods outlined in DOE O 426.1A, which may include preparing written or oral questions sufficient to determine whether the participant has demonstrated the competency level of knowledge specified. The QO may request assistance from the NNSA TQP Manager to provide test or oral evaluation questions, or may draw examples from the NNSA TQP Manager Test bank.
 - (c) The QO informs the TQP participant of the preferred demonstration process for the QO's assessment of competency level, and then conducts the process.
 1. If the participant displays a satisfactory knowledge of the competency (i.e., shows no weak points of any significance), the QO signs the qualification card. Completion of each competency is indicated by the QO's signature and denotation of method of qualification on the TQP participant's qualification card.
 2. If the participant has an unsatisfactory level of competence, or shows a significant lack of understanding, the QO rejects the competency and documents the TQP participant's deficiencies before scheduling another evaluation, including counseling the participant to: 1) restudy identified material, and 2) follow remediation recommendations or create a plan for the best study method (including scheduled retraining, if necessary).
- (3) The QO must be able to discuss the evaluation of the competency knowledge level and must document such via the notes in eTQP. Each QO must maintain a generic set of questions asked for specific competencies, or specific documentation of what was discussed with each TQP participant.

- (4) The TQP participant must keep the supervisor informed regarding qualification status (e.g., percent of competencies completed). The TQP participant must inform the TQP Coordinator of the completed competencies at time intervals determined by the supervisor. The supervisor maintains qualification awareness through discussions with the TQP participant, QOs, and routine reviews of the TQP Matrix.
- (5) STSM qualification must include the National Training Center (NTC) STSM courseware and the recommended prerequisites, as part of the initial STSM qualification as outlined in the STSM FAQs or as defined separately by the FTCP. These courses must be listed in the participant's Individual Development Plan (IDP).
- (6) For Nuclear Safety Systems (NSS) participants, the courses defined in the Safety Basis Professional Program (SBPP) are the preferred method for NSS qualification to the extent supported by their availability. The required training courses should be included in the participant's IDP.
- (7) The TQP Coordinator must provide the competency completion information to the NNSA TQP Manager on a periodic basis. The TQP Coordinator may update competency completion information for the respective organization. The TQP Matrix will be provided after each managers' meeting, and may be provided to the NNSA TQP Manager more often if determined necessary by the TQP Coordinator.

Note: Completions are recorded by the NNSA TQP Manager on the *TQP Progress Matrix* located at <https://nnsaportal.energy.gov/collab/na-mb/na-mb-40-lcm/na-mb-42-tqp/Lists/tqpmatrix/AllItems.aspx>.

- (8) The supervisor must assess progress at regular intervals, and the TQP Coordinator must monitor progress beginning no later than 6 months from the start of qualification package receipt. Progress toward the 18-month timeline must be monitored using the following guidelines:
 - (a) 30% qualification completed by 12 months before the due date.
 - (b) 60% qualification completed by 6 months before the due date.
 - (c) 100% qualification completed by 1 month before the due date.
- (9) For qualification periods less than 18 months, the supervisor must identify the progress milestones and deadlines.
- (10) Supervisors must coordinate necessary actions with TQP participants who fail to meet these milestones per Appendix 2 g., "Employee Knowledge, Skills and Ability Remediation."

e. Supervisor Qualification of TQP Participant.

- (1) Once competencies have been completed and signed by QOs, the supervisor is the first line management review to qualify a TQP participant. Deputy Administrators, Associate Administrators, FOMs or designee will verify competency after first line management review.
- (2) The supervisor's options for validating knowledge, skills, and abilities are:
 - (a) Oral board discussions.
 - 1 Satisfactory: the participant displayed a satisfactory competence showing no weak points of any significance.
 - 2 Unsatisfactory: The participant has a significant lack of understanding of the competency. In this case, the participant would be counseled on what material to study as well as the best study method (including scheduled retraining, if necessary) before planning another evaluation.
 - 3 NNSA's *Conducting Oral Boards Guide* should be used if an oral board is conducted.

<https://nnsaportal.energy.gov/collab/na-mb/na-mb-40-lcm/na-mb-42-tqp/SitePages/Continuing%20Training%20Overview.aspx>

[https://powerpedia.energy.gov/wiki/Office_of_Safety,_Infrastructure_and_Operations_\(NNSA\)](https://powerpedia.energy.gov/wiki/Office_of_Safety,_Infrastructure_and_Operations_(NNSA))
 - (b) Satisfactory completion of a walk-through of a facility with a Qualifying Official for verifying a candidate's knowledge of, and practical skills related to, selected key elements.
 - (c) Written examination developed by the QO, which is reviewed and approved in collaboration with the supervisor.
 - (d) Satisfactory evaluation of completed work products (e.g., assessments, reviews, etc.).
- (3) The NNSA TQP Manager's exam bank may be used to help develop the examination; if used, the supervisor must review and approve the selected questions. The participant must score 80% or better to pass the written examination.

Note: In addition to the above evaluation, STSMs must complete a written examination with a passing score of 80%, as well as an oral evaluation board or facility walkthrough. Facility Representatives (FRs) must complete a written examination with a passing score

of 80%, as well as both an oral evaluation board and facility walkthrough as outlined in DOE-STD-1063.

- (4) Once documentation is completed, the TQP Coordinator updates the TQP participant's records and forwards a copy of the completed and signed qualification cards (e.g., GTB/FAQS) to the NNSA TQP Manager who may issue certificates (if requested) and update the TQP Matrix. The TQP Coordinator must upload any related documentation into eTQP.

f. Use of Equivalencies for Qualification.

- (1) Participants can request equivalencies, acknowledging that equivalencies must be evaluated to maintain the spirit and intent of the TQP.
- (2) Participants requesting an equivalency must initiate a TQP competency equivalency evaluation form located at <https://nnsaportal.energy.gov/collab/na-mb/na-mb-40-lcm/na-mb-42-tqp/tqpdocs/Forms/forms.aspx>, or upload other documentation to eTQP that covers the competencies required on the form for which the participant is requesting an equivalency.
- (3) Participants may address multiple competencies on one form, attaching any necessary supporting documentation and then uploading the form into eTQP. The form should cite the competencies for which it applies.
- (4) Equivalencies may be granted for specific competencies from assigned qualification standards, but do not absolve the participant from being tested on the material for which they have an equivalency during the final qualification activity.
- (5) TQP participants must provide objective evidence (e.g., a combination of transcripts, certifications, diplomas, previously documented qualifications) to support equivalencies. Participant-generated narratives such as resumes and personal written work history are not considered objective evidence. Evaluation of participant-generated narratives must be confirmed by oral or written examination. The granting of equivalencies must be reviewed and align with the requirement to qualify on those competencies that pertain to DOE-specific directives or requirements.
- (6) The TQP participant's supervisor reviews and forwards the equivalencies with the objective evidence to the QO for concurrence (signature), who then routes it to the FTCP Agent for final approval (signature). Once the equivalency is approved, the TQP participant must send the completed form, with any supporting documentation, to the TQP Coordinator for inclusion in eTQP for the appropriate competency.
- (7) The TQP Coordinator uploads the complete package in eTQP as outlined in Appendix 2, (Process), and the TQP participant retains the original.

g. Employee Knowledge, Skills, and Ability Remediation.

- (1) When a TQP participant fails to meet the requirements of the assigned FAQs (e.g., lack of demonstrated requisite knowledge, skills, and abilities; fails final qualifying activities; fails to complete continuing training; neglects to attend required classes for qualification or requalification as defined in a FAQs); or when the participant fails to make satisfactory qualification progress, the participant may be placed in a training and qualification remediation program by the supervisor.
- (2) The supervisor of the TQP participant will work with the TQP Coordinator and the FTCP Agent to develop a remediation plan for the TQP participant. The TQP participant's supervisor and the FTCP Agent must brief the second level supervisor on the remediation plan for the involved TQP participant.
- (3) The TQP participant's supervisor must:
 - (a) Review the plan with the TQP participant.
 - (b) Assist the TQP participant in identifying study materials based upon demonstrated areas of weakness.
 - (c) Determine and document any limitations on the TQP participant's duties (compensatory measures). A compensatory measure is defined as the extent to which, or whether, a TQP participant can provide "direction to, or oversight of contractor technical activities that could affect the safe operations at defense nuclear facilities" (DOE O 426.1A). The compensatory measures may be documented using the form located at <https://nnsaportal.energy.gov/collab/na-mb/na-mb-40-lcm/na-mb-42-tqp/tqpdocs/Forms/forms.aspx>.
 - (d) Document two consecutive failures (written or oral) to meet TQP requirements. This action results in the FTCP Agent, in coordination with the second level supervisor, determining if the employee should be removed from the program or be provided additional remedial training and retesting.
 - (e) Determine if the TQP participant needs to be relieved of other duties during the remedial training period. Successful participation in the TQP may be a condition of employment; additional actions may be coordinated with Human Resources (NA-MB-10).
- (4) The FTCP Agent provides a copy of the remediation plan to the TQP Coordinator, who then loads the documentation in eTQP.

h. Qualification Period and Qualification Time Limit Extensions.

- (1) TQP participant supervisors must allocate sufficient time for the participant to complete qualification, and TQP participants should adhere to qualification periods and time limits.
- (2) Qualification time limit extensions may be granted on a case-by-case basis (e.g., support for operational or schedule commitments, medical circumstances, and military active duty mobilization).
- (3) If an extension is necessary, the TQP participant initiates the extension request by completing the TQP Extension Request at <https://nnsaportal.energy.gov/collab/na-mb/na-mb-40-lcm/na-mb-42-tqp/tqpdocs/Forms/forms.aspx> and provides it to the supervisor.
- (4) Documentation of the request must include the following:
 - (a) The length of the requested extension, on average no more than 6 months.
 - (b) A detailed explanation of the circumstances that prevent the participant from completing the requirements in the original time period or limit.
 - (c) A comprehensive qualification plan identifying steps required for the participant to meet the extended date.
- (5) The TQP participant's supervisor forwards the request to the FTCP Agent for approval. The TQP Coordinator is copied by the supervisor.
- (6) The FTCP Agent approves or disapproves the request and provides it to the TQP Coordinator.
- (7) The TQP Coordinator uploads the time extension and related duty limitations or compensatory measures into eTQP and provides electronic copies to the TQP participant's supervisor, the TQP participant, and the NNSA TQP Manager.

i. Proficiency.

- (1) TQP participants maintain proficiency in an assigned TQP-designated position by performing and documenting performance of duties in that position, such as activities and written products produced for position and mission requirements.
- (2) The supervisor of a TQP-designated position in which the assigned TQP participant has been delegated work outside of the program for an extended period of time (e.g., 90 days) should conduct a management review of the participant's competencies, from the most current FAQs, and document such review in writing and provide the documentation to the TQP Coordinator to upload into eTQP.

- (3) The participant will address any proficiency requirements and record them in an IDP as necessary.

j. Continuing Training.

- (1) Once a TQP participant has completed qualification requirements, qualification must be maintained through completion of the continuing training requirements set forth in this procedure. The continuing training program is essential to make certain TQP participants remain current in their technical field of expertise as well as remain aware of policies, practices, and requirements of performing their duties.
- (2) Continuing training includes:
 - (a) Training that is conducted and documented in a deliberate manner to further knowledge in a position-related topic.
 - (b) Activities completed to improve knowledge, performance, or awareness in the individual's area of qualification.
- (3) The following are acceptable methods of continuing training:
 - (a) Classroom training: for example, attendance at DOE-sponsored technical training such as that provided by the NTC, or other courses;
 - (b) Structured self-study;
 - (c) Symposiums, seminars, workshops; and
 - (d) Walkthroughs, tours.
- (4) The following are examples of continuing training topics used by the NNSA TQP Manager for the initial CTPT issuance:
 - (a) Changes to internal organization policies, processes, or procedures;
 - (b) New or revised DOE directives or technical standards;
 - (c) Annual updates to the documented safety or security analyses;
 - (d) New or modified processes that require additional safety or security analyses; or
 - (e) Industry changes specific to a TQP-designated position's functional area.
 - (f) Participants may meet continuing training requirements through collaborative efforts, such as group training with other TQP participants.

Note: Sessions and related attendance rosters must be provided to the TQP Coordinator for recordkeeping.

- (5) Continuing Training Process and Requirements:
- (a) Continuing Training Progress Tracker (CTPT)—each year, in alignment with the IDP open season, the NNSA TQP Manager will post a CTPT for each TQP participant on the NNSA TQP website and send out a copy of the CTPT to the organization's TQP Coordinator. The CTPT and IDP should be aligned.
 - (b) The CTPT lists any changes to directives, industry standards, federal regulations, or TQP standards in the TQP participant's functional areas.
 - (c) The TQP Coordinator will provide a copy of the CTPT to the TQP participant's supervisor. The supervisor will review and update the topics on the CTPT (by adding or deleting items) based on discussion with the TQP participant to identify what must be completed during the next fiscal year. Discussions will include suggested completion methods (e.g., self-study, classroom training, required reading, etc.). The planned CTPT is then signed by the supervisor and the participant as an agreement of training activities to be pursued during the upcoming fiscal year. The signed CTPT plan must be provided to the TQP Coordinator by the end of the IDP open season each year.
 - (d) The TQP participant completes activities listed on their CTPT, or provides justification for incomplete activities (e.g., lack of training funding, lack of training offered, workload demands, etc.) pre-approved by the supervisor.
 - (e) The supervisor evaluates activities completed by the TQP participant.
 - (f) The supervisor signs the participant's CTPT when satisfied that the participant has adequate knowledge of the specific topic.
 - (g) At the end of the performance cycle or earlier, the supervisor reviews the CTPT progress with the TQP participant; if complete, the supervisor and TQP participant sign and date the CTPT and provide it to the FTCP Agent for verification. If a CTPT item is not completed, it must include justification. If the supervisor concurs the item is justified, the supervisor and TQP participant sign and date the CTPT and provide it to the FTCP Agent for verification.
 - (h) For Nuclear Safety Specialists (NSSs), the Safety Basis Professional Program (SBPP) courses must be included in the IDP and CTPT processes until the prescribed SBPP courses have been completed. Courses must be completed in accordance with the SBPP, or an extension request must be prepared (Appendix 2 h.) by the TQP participant and the supervisor, for

the FTCP Agent's concurrence and second level supervisor approval. The TQP participant may be placed on a remedial training plan by the supervisor unless adequate justification for an extension is provided. NSSs must participate in annual continuing training and learning activities as specified in Section 6, NSS Continuous Learning, of the NNSA SBPP Plan.

- (i) The FTCP Agent reviews the completed CTPT. If the Agent is satisfied that the documentation demonstrates completion of requirements, the Agent approves the completed CTPT and forwards the signed and dated document to the TQP Coordinator. If the Agent is dissatisfied with the level of completion of the CTPT, the Agent notifies the TQP participant's supervisor to take appropriate action.
- (6) The TQP Coordinator makes certain the TQP participant's eTQP profile is updated to reflect completion of the fiscal year's continuing training and forwards a copy of the completed CTPT to the NNSA TQP Manager who will create a certificate for the participant.
- (7) Continuing training requirements specific to STSM positions are outlined in Appendix 2 k.

k. Requalification.

- (1) FAQs may require personnel undergo periodic requalification (e.g., Nuclear Explosive Safety Study [NESS]), but the decision to requalify is locally determined, must be documented and coordinated with the FTCP Chair and NNSA TQP Manager.
- (2) If the standard identifies a formal 5-year requalification requirement, 18 months prior to the scheduled requalification date, the supervisor issues a notification that informs the TQP participant of the requalification date, and the process and documentation necessary to complete requalification. This notification may also be issued by the TQP Coordinator or the NNSA TQP Manager. The notification must stipulate what actions are required to achieve requalification (e.g., final qualifying activity, gap card, etc.). Personnel in these designated functional areas must requalify every 5 years and participate in an annual continuing training program. See specific FAQs and local decision paper to determine requirements.
- (3) The NNSA TQP Manager may develop a gap qualification card that includes the competency statements and knowledge, skills, and abilities that are new to a revised FAQs. These gap cards will be included in the CTPTs for TQP participants who have previously qualified to that FAQs, and will become a part of the continuing training program.

- (4) TQP participants must remain qualified to the GTB by completing assigned continuing training on an annual basis. The supervisor may require participants to requalify to the GTB by retaking the online course offered by the NTC, or by using the testing provided by the NNSA TQP Manager.
- (5) For STSM positions, which include a continuing training program requirement, the following is required:
 - (a) An annual completed CTPT.
 - (b) Eighty hours of training from the approved course list outlined by the FTCP, provided by the NTC, within the 5-year period since STSM qualification.
 - (c) Two performance activities from the approved list of activities provided by the FTCP within the 5-year period since STSM qualification.
- (6) Other FAQs define or suggest methods to remain current in the field. If the TQP participant's supervisor deems continuing training insufficient to maintain a TQP participant's qualification, TQP participants may be directed to add additional actions to their CTPT.
- (7) TQP participants who fail to complete the identified requalification requirements by the end of the requalification period may be granted a 6-month extension for requalification by the FTCP Agent, provided that compensatory measures are identified and implemented permitting them to continue to perform their duties. If the participant fails to meet requalification requirements within the 6-month extension, the participants must be removed from duties requiring qualification in accordance with this SD and DOE O 426.1A or successor Order (similar to Appendix 2 g(3)(e)).
- (8) Sample requalification documentation is provided in Appendix 1 of this document.
- (9) Final qualifying activities (e.g., oral board, supervisor interview, written exam) are determined by the supervisor and are provided to the requalifying TQP participant as part of the notification to requalify.

1. TQP Program Management.

- (1) The FTCP HQ or field office Agent must meet with internal organizational management, or use other approved site documented processes, to discuss TQP at regular intervals. The agenda may include discussions by supervisors or the TQP Coordinator of the following:
 - (a) The status of TQP participants (e.g., percentage of competencies completed, obstacles to success, continuing training status, identification of TQP participants that need to start the requalification process).

- (b) Confirmation that the QO list is accurate with respect to the QOs in their organization.
 - (c) A report on actions due status.
 - (d) Continuing training sessions planned, and attendance at continuing training sessions conducted.
 - (e) The status of TQP records.
 - (f) Issues identified throughout the quarter.
 - (g) Resolution of issues identified at previous meetings.
 - (h) A listing of feedback and actions taken.
 - (i) Identification of any potential continuing training opportunities for TQP participants over the next 2 quarters (e.g., presentations, required reading).
- (2) The meeting must be documented by maintaining a written agenda and minutes.
 - (3) The TQP Coordinator will provide the NNSA TQP Manager with updates to the TQP Matrix and QO list based on the meeting. The TQP Coordinator will facilitate scheduling identified continuing training opportunities.
- m. Development of Office/Facility/Position-specific Qualification Standards (O/F/PSQS).
- (1) Supervisors must identify a list of tasks. A *task* is defined as a unit of work having an identified beginning and end, which is a measurable component of the duties and responsibilities of a specific job.
 - (2) For each task identified, supervisors must use the systematic approach to training to identify knowledge, skills, and abilities (KSAs) required for successful task performance.
 - (3) Tasks and related KSAs are then compiled into an O/F/PSQS.
 - (4) O/F/PSQS are developed with a specific focus for tasks and related KSAs required for groups of employees located at a particular site or office.
 - (5) O/F/PSQS should be updated at a regular frequency (e.g., before being assigned to a new participant).
- n. Feedback and Improvement.
- (1) TQP participants, TQP participant supervisors, and others will have the opportunity to provide feedback and recommendations for improvement of the TQP or feedback for FTCP initiatives.

- (2) Feedback may be provided in multiple ways:
 - a. After the final qualification interview, each TQP participant may complete the TQP Qualification Feedback form located on the back of each qualification package and provide it to the TQP Coordinator. The participant may also provide feedback based on guidance in the FAQs.
 - b. Through the electronic feedback mechanism located on the NNSA TQP Manager SharePoint page.
 - c. Directly to the principal FTCP Agent for discussion and relay to the FTCP.
 - (3) If internal to an organization, the TQP Coordinator acknowledges receipt of the feedback in writing, and forwards it to the FTCP Agent for disposition or implementation.
 - (4) If general across the NNSA TQP, the principal FTCP Agent will acknowledge receipt of feedback in writing and follow-up with appropriate communications following subsequent FTCP-related discussions. A copy will be routed to the NNSA TQP Manager for information purposes.
 - (5) The principal FTCP Agent or FTCP Agents in field offices will review and process the feedback by:
 - (a) Implementing or recommending to senior management incorporation of the feedback in the TQP as appropriate, with immediate implementation with the next review, or revision of the procedure. Resolution varies depending on issue raised (e.g., FTCP, implementing organization, universal SD update, etc.).
 - (b) Directing the TQP Coordinator to answer the feedback concern via other means (verbal response, briefing, memo, etc.).
- o. TQP Self Assessments/Accreditation.
- (1) The HQ FTCP Agent must coordinate NNSA-wide TQP and FTCP self-assessments at least once every 4 years per DOE O 426.1A or successor Order.
 - (2) The self-assessment must be led by an STSM, or an STSM must be a team member and co-sign the assessment report.
 - (3) The self-assessment team leader must perform the assessment using, at a minimum, the criteria in DOE O 426.1A or successor Order or as posted on the FTCP website <http://energy.gov/hss/downloads/technical-qualification-program-and-ftcp-assessment-crads>.

- (4) The self-assessment team leader provides the final assessment report to participating TQP Coordinators and FTCP Agents for a factual accuracy review.
- (5) The self-assessment team leader briefs the participating FTCP Agents and organizational managers on the results of the self-assessment.
- (6) Based on the final self-assessment report, the NNSA TQP Steering Committee and participating FTCP Agents will generate a corrective action plan, if needed, and provide it to the HQ FTCP Agent for approval.
- (7) Once approved, the self-assessment team leader transmits the report to the HQ FTCP Agent, who provides a copy of the final report and corrective action plan to the DOE FTCP Chair.
- (8) Offices participating in this NNSA-wide SD must pursue TQP accreditation facilitated by the FTCP and approved by the Deputy Secretary.

p. Training.

Note: This section is related to general participant training. Specific training requirements for certain roles are outlined in the Responsibilities section above.

- (1) This Supplemental Directive is required reading for TQP staff with roles and responsibilities in the TQP process. Changes to this SD will follow SD 251.1A, *Directives Management*, or successor directive.
- (2) Training on this SD must be provided to TQP participants and is available through the Learning Nucleus.
- (3) See QO training requirements (Appendix 2 j.1).

q. Documents and Records Management.

- (1) Records must be maintained in accordance with the SD 243.1 Admin Change 1, *Records Management Program*, and any internal directives regarding records management, and in eTQP, the FTCP official recordkeeping system for TQP.
- (2) The TQP Coordinator develops and maintains the official records in eTQP for each TQP participant. The NNSA TQP Manager requires electronic courtesy copies of several documents as described in this SD for action purposes or to update the NNSA TQP Matrix. The official records are maintained in eTQP or by the TQP Coordinator.

- (3) The TQP Coordinator performs the eTQP Manager role within the eTQP system.

eTQP is the official system for TQP records and will be used to document completion and acceptance of competencies and for final qualifying activities. TQP participants are responsible for maintaining their qualification card and associated documents during the qualification process and for verifying the accuracy of documentation loaded into eTQP.

- (4) The completed qualification cards and CTPTs must be maintained as the primary record in eTQP of TQP participant qualification by the TQP Coordinator.

- (5) TQP Coordinator is responsible for maintaining the eTQP for each TQP participant, within their respective organization, consistent with the list below. Documents maintained in the TQP participant's eTQP record must include the following, as applicable:

- (a) PEQ (see note 2)*
- (b) TQP issuance memorandum from NNSA TQP Manager
- (c) QO attestation form*
- (d) Copies of completed qualification cards* and completion certificates
- (e) Equivalencies
- (f) Remediation plans
- (g) Time limit extensions*
- (h) Completed CTPTs*
- (i) Interim limitation and compensatory measures documentation
- (j) Documented results of final written examinations and oral boards

Note 1: Forms identified with an asterisk (*) must have an electronic courtesy copy sent to the NNSA TQP Manager.

Note 2: The documents required will vary by TQP participant. The TQP Coordinator must maintain available documents in the TQP participant's eTQP.

- (6) Records of qualification must be maintained in eTQP by the TQP Coordinator as long as the TQP participant continues to work for the organization. If records are hardcopy legacy files and the TQP participant separates, the records will be transferred to the National Archives and Records Administration (NARA). The transfer should be coordinated between the TQP Coordinator and the organization's Records Liaison Officer. Additional supplemental records outside of eTQP must be maintained in accordance with SD 243.1, *Records Management Program*.
- (7) Other files maintained by the TQP Coordinator, outside of eTQP, include the current copy of the organizational annual workforce analysis and staffing plan report, and any other corporate TQP documentation independent of an individual's participation in TQP.
- (8) Minutes from the managers' meeting must be maintained by the TQP Coordinator.

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APPENDIX 3: DEFINITIONS

- a. Accreditation. A process that demonstrates that headquarters and field organizations in DOE/NNSA have an effective program in place to validate the technical competency of employees whose duties and responsibilities require them to provide assistance, guidance, direction, oversight, or evaluation of contractor activities that could affect the safe operation of a defense nuclear facility.
- b. Continuing Training. Prescribed training that must be completed annually, or as otherwise defined in the FAQs or O/F/PSQS, to maintain qualifications after initial qualification is achieved. The program is conducted through the completion of continuing training requirements set forth in SD 426.1, *Technical Qualification Program*.
- c. Continuing Training Progress Tracker (CTPT). The CTPT lists any changes to directives, industry standards, federal regulations, or TQP standards in the TQP participant's functional areas.
- d. Equivalencies. A level of achievement equal to completion of FAQs or O/F/PSQS competencies which may be granted from assigned qualification standards. **Note:** Equivalencies do not absolve the participant from being tested on the material during the final qualification activity.
- e. eTQP Profile. An electronic record of the TQP candidate's progress and completion toward qualification.
- f. Extension. An extension of a participant's qualification period may be granted on a case-by-case basis.
- g. Federal Technical Capability Panel. The Federal Technical Capability Panel is responsible for overseeing the overall implementation of the Federal Technical Capability Program.
- h. Federal Technical Capability Panel Agent. Oversees implementation of the Technical Qualification Program as outlined in DOE O 426.1A, *Federal Technical Capability Program*, and within the SD 426.1.
- i. Functional Area Qualification Standard. A document that contains the knowledge, skills, and abilities that a TQP candidate must demonstrate to qualify for a position.
- j. Gap Qualification Card. A qualification card that lists all of the changed or additional competencies in an updated functional area qualification standard.
- k. General Technical Base (GTB). A qualification standard that must be completed by all TQP candidates and outlined in DOE-STD-1146-2017, *General Technical Base Qualification Standard*. The GTB is in addition to the functional area qualification standard the candidate is assigned.

- l. Individual Development Plan (IDP). A planning document used to identify short- and long-range career goals, specific competencies, knowledge, skills, and abilities necessary to meet current objectives, and training, education, and other professional development strategies needed from year to year as the employee's career goals and mission of the organization evolve.
- m. Oral Board. A process to assess the skills and abilities of a candidate that cannot be completely evaluated from on-the-job training, classroom training, or written comprehensive examinations.
- n. Position Evaluation Questionnaire. A document that evaluates and provides a determination of whether a position is included in the TQP based on line management, technical support, operation, or oversight responsibilities that provide assistance, guidance, direction, oversight, or evaluation of contractor activities that could affect the safe operation of a defense nuclear facility. This form includes the name of the incumbent employee (when identified) who is assigned to this position and all functional area(s) to which the employee may be assigned.
- o. Position or Office Specific Qualification Standard. A standard developed by the site with assistance from the NNSA TQP Manager that lists competencies that are required to perform a unit of work having an identified beginning and end, which is a measurable component of the duties and responsibilities of a specific job.
- p. Qualifying Official. A person designated by a supervisor who has the technical experience or education to review and verify a candidate's ability to effectively demonstrate completion of a competency for qualification.
- q. Qualifying Official Attestation Form. A form that attests that a designated qualifying official has completed the required training to perform as a qualifying official, which lists the functional areas and competencies that the person has been assigned to review.
- r. Remediation Plan. A plan used when a TQP participant fails to meet the requirements of the assigned functional area qualification standard, or when the participant fails to make satisfactory qualification progress, the participant may be placed in a training and qualification remediation program by the supervisor.
- s. Requalification. A process used for periodic reassessment of qualification for various positions. These positions must requalify every 5 years or must participate in an active, continuing training program.
- t. Senior Technical Safety Manager (STSM). TQP positions that provide assistance, direction, guidance, oversight, or evaluation of contractor technical activities that could affect the safe operation of DOE's defense nuclear facilities.
- u. TQP Coordinator. The person designated at the site that is responsible for assisting candidates in the Technical Qualification Program in the qualification process. Also acts as a liaison between the site and the NNSA TQP Manager.

- v. TQP Participant. A person who is required to complete TQP qualification, requalification, and continuing training requirements specified within DOE O 426.1A, *Federal Technical Capability Program*, SD 426.1, and applicable assigned functional area qualification standard(s).

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APPENDIX 4: ACRONYMS

a.	<u>CDNS</u>	Chief of Defense Nuclear Safety
b.	<u>CTPT</u>	Continuing Training Progress Tracker
c.	<u>DOE</u>	Department of Energy
d.	<u>eTQP</u>	Electronic Technical Qualification Program (TQP system of records)
e.	<u>FR</u>	Facility Representative
f.	<u>FTCP</u>	Federal Technical Capability Panel
g.	<u>FOM</u>	Field Office Manager
h.	<u>FAQS</u>	Functional Area Qualification Standards
i.	<u>FRA</u>	Functions, Responsibilities and Authorities
j.	<u>GTB</u>	General Technical Base
k.	<u>HQ</u>	Headquarters
l.	<u>HR</u>	Human Resources
m.	<u>IDP</u>	Individual Development Plan
n.	<u>KSA</u>	Knowledge, Skills and Abilities
o.	<u>LCM</u>	Learning and Career Management
p.	<u>NARA</u>	National Archives and Records Administration
q.	<u>NNSA</u>	National Nuclear Security Administration
r.	<u>NTC</u>	National Training Center
s.	<u>NESS</u>	Nuclear Explosives Safety Systems (one of the FAQS)
t.	<u>NSS</u>	Nuclear Safety Specialist (one of the FAQS)
u.	<u>O</u>	Order
v.	<u>PEQ</u>	Position Evaluation Questionnaire
w.	<u>O/F/PSQS</u>	Office/Facility/Position-specific Qualification Standards
x.	<u>OPI</u>	Office of Primary Interest
y.	<u>QO</u>	Qualifying Official
z.	<u>STSM</u>	Senior Technical Safety Manager
aa.	<u>SD</u>	Supplemental Directive
bb.	<u>SBPP</u>	Safety Basis Professional Program

- cc. TQP Technical Qualification Program
- dd. U.S.C. United States Code

APPENDIX 5: REFERENCES

1. DOE Order 360.1, *Federal Employee Training*, dated 07-06-11
2. DOE Order 414.1D, *Quality Assurance*, dated 04-25-11
3. DOE Order 426.1A, *Federal Technical Capability Program*, dated 01-17-17
4. NNSA SD 243.1, *Records Management Program*, dated 03-21-16