

NO: YSO-2.1

REV.: 17

TITLE: YSO TECHNICAL QUALIFICATION TRAINING PROGRAM

APPROVAL DATE: March 14, 2011

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REVISION LOG

Revision Number	Description of Changes	Pages Affected
1-15	Previous revisions on file.	All
16	<p>6/8/2010 Replaced References 3.15 and 3.16 with the new DOE-STD-1125-2008, Weapons Quality Assurance and renumbered the references in the procedure accordingly.</p> <p>Added step 6.2.3 to add instructions for compensatory measures for reducing expert level competencies in the FAQs. Added step 5.2.4 to comply with site NQA-1 training requirements. Revised step 6.10.2 to clarify the requirements for designation of Qualifying Officials and included business degree in the education and experience requirements to allow individuals with business degrees to be QOs. Needed for signoffs in the business management areas of qualification.</p> <p>Deleted steps 6.12.6 and 6.12.7 to remove outdate references to web-based required reading; required reading is now covered in Pegasus and the B&W SAP database.</p> <p>Updated Attachment 1, example QO list.</p> <p>General Revision to incorporate the requirements of the newly issued DOE Order 426.1, "Federal Technical Capability", issued 11/19/2009, which include the following:</p> <ul style="list-style-type: none">Deleted Reference 3.12, Accreditation Criteria – this was incorporated into the new order.	All

Revision Number	Description of Changes	Pages Affected
16 (cont.)	<ul style="list-style-type: none"> • Updated and combined the training records instruction in sections 5.3 and 5.4 to reflect the new DOE Order requirements and moved them to section 7.0, Records; renumbered section 5.0. Removed all references to steps requiring transmittal of official records to Enterprise Training Services; Official records are to be maintained by YSO per the new order. Changed Step 6.4.9 to require official records to be transmitted to YSO Training Manager for filing. • Clarified the Manager's responsibility to specifically designate STSMs, FRs, SSOs, and NSSs in the TQP (step 4.1.11) as required by the new order. • Added steps 4.6.17 and 4.6.18 to FTCP Agent responsibilities for feedback & improvement in workforce capabilities, and providing management with FTCP activity status; per the new order. • Added note to step 6.2.5 to clarify qualification of Project Managers. • Added a note to step 6.11.2 to specifically designate the YSO STSM positions as required by the new order. • Added steps to step 6.11.2.7 to clarify the qualification and requalification requirements of STSMs per the new order. 	
	8/6/2010: Admin change: corrected step 6.4.6.6 to clarify that QO submittal of oral evaluation notes to the Training Manager is optional. This is done to address finding in YSO self-assessment (Ref.: ISS-OM-8/3/2010-70818)	19, 29
17	<p>3/14/2011 - The following changes were made to address Areas for Improvement and Noteworthy Information issues from the YSO Reaccreditation Review in August, 2010:</p> <ul style="list-style-type: none"> • Step 6.2.3 was deleted to remove all references to the Provisional Qualification Process (AFI-3-1, NI-6-1) • A new step 6.2.3 was added to require the generation of JTAs on YSO positions added after 1/1/2011 (AFI-4-1) • Revised Step 6.2.8 to remove the requirement to forward a TQS to the NNSA TQP Manager; added words to notify the NNSA TQP Manager of initial qual start date. (AFI-3.2) • Inserted new step 6.4.7 to define YSO's process for validating expert level competencies (AFI-3-1, NI-6-1). • Removed all references to exemptions from Step 6.5, definitions and Form YSO-2.1-6.5.3 (AFI-3-2). • Clarifies Step 6.10.1 to remove the requirement that all QOs must be qualified in at least one functional area (AFI-3-2). • Deletes requirement from step 6.10.2 – QOs not required to be qualified and inserted new step 6.10.2 to allow SMEs from outside organizations to serve as YSO QOs and incorporate the training requirements for these individuals. (AFI-1-3) Also renumbered section 6.10 appropriately. • Revised Step 6.11.2 to add the Lead Operations Engineer to the list of STSM positions. (AFI-3-2) 	

Revision Number	Description of Changes	Pages Affected
17	<p>Corrected references and typos. Deleted Step 6.1.5 (duplicate to step 6.1.4)</p> <p>Based on Feedback Forms (YSO-2.1-6.13.1); Changed Section 6.7 to reflect a 5-year frequency for Requalification and deleted access training requirements, since these requirements are now tracked in SAP.</p> <p>Revised Extension Form (YSO-2.1-6.6.2) to reflect a maximum 180 days for extensions to be consistent with DOE Order 426.1 requirements.</p> <p>Revised Step 6.11.2.7.2 to clarify the STSM re-qualification requirement.</p> <p>Revised Step 6.12 to clarify the intent to use the Required Reading Form as optional; also clarified the steps to use the B&W SAP and the YSO Pegasus database.</p> <p>Added notes to section 7.1 for clarifications on training records.</p> <p>Updated Attachment 2 to reflect 5 year requalification requirements and added Building 9720-82; renumbered steps.</p> <p>Updated Section 8 (Acronym List); Added Deputy Site Manager responsibilities to Section 4.1.</p> <p>Deleted Step 4.6.14 – duplicate to steps 4.6.2 and 4.6.3</p> <p>Deleted applicable steps and attachment 3 to remove all references to YSO Internal Job rotation process at management direction.</p>	All
	3/21/2011: Admin Change to update Attachment 3 (remove Kevin Smith's name as Deputy Manager)	48
	5/6/2011: Admin Change to remove Reference 3.15 due to cancellation of NA-1 M 426.1-1A	2, 20, 32, 36

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Title: YSO Technical Qualification Training Program		Supersedes: YSO-2.1, Rev. 16	Date: 6/8/2010
Owner: <i>Mark A. Sundie</i>		Sunset Review Date:	03/14/2014
Approved: <i>Theodore D. Sherry</i>	Date: <i>3/14/2011</i>	Preparer: <i>Mark A. Sundie</i>	Date: <i>2/23/2011</i>

1.0 PURPOSE

To assign responsibilities and provide guidance and instruction for establishing, maintaining, monitoring, and evaluating personnel development, qualifications, re-qualification training programs and activities to fully implement all applicable requirements set forth in U.S. Department of Energy (DOE) Order 360.1B.

2.0 SCOPE

Applicable to all National Nuclear Security Administration (NNSA) Y-12 Site Office (YSO) personnel filling technical positions defined in the Technical Qualification Program (TQP). Facility Representative (FR) training is specified in References 3.2, 3.3, and 3.4.

3.0 REFERENCES

- 3.1 DOE Order 360.1B, *Federal Employee Training*
- 3.2 National Nuclear Security Administration, Y-12 Site Office, Facility Representative Qualification Standard
- 3.3 National Nuclear Security Administration, Y-12 Site Office, Facility Representative Interim Qualification Standard
- 3.4 YSO-1.6, *Facility Representative Program*
- 3.5 YSO-4.2, *Preparation and Configuration Management of Command Media*
- 3.6 DOE Order 426.1, *Federal Technical Capability*
- 3.7 DOE Manual 360.1-1B, *Federal Employee Training Manual*
- 3.8 YSO-3.2, *Assessment Reporting and Issues Management*
- 3.9 DOE Policy 426.1, *Federal Technical Capability Policy for Defense Nuclear Facilities*
- 3.10 YSO Technical Qualification Standard
- 3.11 YSO-2.2, *Training Impact Assessment*
- 3.12 YSO-7.4, *YSO Safety System Oversight Program*

- 3.13 YSO Safety System Oversight Qualification Standard
- 3.14 DOE-STD-1025-2008, *Weapons Quality Assurance Appendix K (continued) Federal Employees' Compensation Act*
- 3.15 Handbook, DOE-HDBK-1078-94, *Training Program Handbook: A Systematic Approach to Training*
- 3.16 Handbook, DOE-HDBK-1103-96, *Table Top Needs Analysis*
- 3.17 Handbook, DOE-HDBK-1118-99, *Guide to Good Practices for Continuing Training*
- 3.18 FORM YSO-2.1-6.5.3, *Competency Equivalency/Exemption Form*
- 3.19 FORM YSO-2.1-6.6.2, *Extension Request Form*
- 3.20 FORM YSO-2.1-6.7.4.1, *Individual Record of Training/Experience Form*
- 3.21 FORM YSO-2.1-6.12.1, *Required Reading Request Form*
- 3.22 FORM YSO-2.1-6.13.1, *Feedback and Improvement Report*
- 3.23 Office of Personnel Management Training Policy
- 3.24 *DOE/NNSA Weapons Quality Control Policy, QC-1, Revision 10*
- 3.25 *Weapons Quality Assurance Procedures Manual, March 2009*

4.0 RESPONSIBILITIES

4.1 Y-12 Site Manager/Deputy Site Manager

- 4.1.1 Has overall responsibility for implementation of this procedure.
- 4.1.2 Meets responsibilities as described in References 3.1 and 3.6.
- 4.1.3 Approves YSO Technical Qualification Standards and Individual Development Plans (IDPs) for direct reports.
- 4.1.4 Reviews directly reporting employees' progress on completing developmental activities for TQP qualification and/or continuing training activities, as required.
- 4.1.5 Evaluates and grants Competency Equivalencies (Reference 3.18) for employees based on justification and objective evidence. This evaluation may include use of a Subject Matter Expert (SME).

- 4.1.6 Reviews and approves qualification Extension Request Forms (Reference 3.19).
- 4.1.7 Designates and approves individuals to serve as Qualifying Officials. (Manager only)
- 4.1.8 Approves initial qualification and re-qualification of TQP participants. (Manager only)
- 4.1.9 Assigns a YSO manager as the YSO Federal Technical Capability Panel (FTCP) Agent.
- 4.1.10 Represents YSO in the final Accreditation Board meeting as described in Appendix C of Reference 3.6. (Manager only)
- 4.1.11 Designates, in writing, those employees in YSO who will participate in the TQP including name, position, and functional areas. This includes STSMs, FRs, SSOs, Nuclear Safety Specialists, S&S, and Federal Project Directors (FPD).
- 4.1.12 Determines the need for and approves continued service obligations when appropriate.
- 4.1.13 Waives training completion and continued service obligations for federal employees prior to separation from YSO, as appropriate.

4.2 Assistant Managers (AM) and Senior Project Director (SPD)

- 4.2.1 Recommend to the Manager, those employees under his/her supervision requiring technical qualification and participation in the TQP.
- 4.2.2 Assume responsibility for the identification and development of training needs and qualification of Federal Employees under his/her supervision.
- 4.2.3 Provide a list of SME candidates under his/her supervision to serve as Qualifying Officials. Provide this list under his/her supervision to the Y-12 Site Manager for approval.
- 4.2.4 Approve Position Standards and IDPs for employees under his/her supervision.

- 4.2.5 Monitor employee's progress toward qualification/re-qualification and continuing training. Discuss progress in detailed performance appraisals. Identifies areas for improvement where additional developmental activity is required.
- 4.2.6 Ensure employees are allocated time for formal training and other qualification activities.
- 4.2.7 Work with each employee to achieve mutual understanding of job competencies, job training, and career development opportunities and requirements.
- 4.2.8 Evaluate Equivalency/Exemption Forms (Reference 3.18) from employees based on justification and objective evidence.
- 4.2.9 Review and approve Individual Record of Training/Experience Forms (Reference 3.20).
- 4.2.10 Review and concur with qualification Extension Request Forms (Reference 3.19).
- 4.2.11 Represent YSO on the Federal Technical Capability Panel as the YSO FTCP Agent or alternate, referenced in this procedure as the "Agent," as assigned by the Y-12 Site Manager.
- 4.2.12 Perform evaluations and interviews of individuals who completed all re-qualification requirements per Section 6.7 of this procedure.
- 4.2.13 For initial qualification, define the applicable job-specific practical factors to be demonstrated.
- 4.2.14 For technical personnel who perform matrix support to YSO, the responsible Assistant Manager/Senior Project Director will approve TQP applicability, participation, and appropriate practical factors based on the level and extent of support provided.
- 4.2.15 Review/Approve training needs for their organization.
- 4.2.16 Recommend the use of a continued service obligation to the Manager/Deputy Manager for their employees when required or desired.

4.3 Technical Qualification Candidates

NOTE: References 3.2, 3.3, and 3.4 contain qualification requirements for employees assigned to the Facility Representative Qualification and interim qualification programs.

NOTE: References 3.12 and 3.13 contain qualification requirements for employees assigned to the Safety System Oversight (SSO) qualification program.

4.3.1 All identified technical qualification candidates must meet General Technical Base, Primary Functional Areas, and Office/Facility/Position-Specific Qualification Standards. Qualification requirements for any matrix personnel assigned to YSO will be determined on a case-by-case basis taking into account the duration of the assignment and whether the position is a lead line function or additional staff augmentation position.

4.3.2 Understand qualification requirements by reviewing General Technical Base and Primary Functional Area, IDPs, applicable references, and Office/Facility/Position-Specific Qualification Standards.

4.3.3 Complete assessments of previously acquired experience, education or training against the listed competencies. Discuss proposed equivalencies with AMs or SPD. Complete Competency Equivalency/Exemption Forms (Reference 3.18). Provide objective evidence to support equivalencies.

4.3.4 Identify work duties/tasks, including new or additional duties for which they are not qualified and inform their supervisor and the Training Manager.

4.3.5 Complete required training activities as identified in IDP and Section 5.2.

NOTE: It is each employee's responsibility to attend all approved training or learning activities required to support full qualification, to ensure progress in maintaining qualifications, and to enhance employee development.

4.3.6 Attend formal training, and provide evidence of successful completion to the Training Manager. Documentation of off-site training must be provided to the Training Manager to ensure the employee's training file is complete.

4.3.7 Perform on-the-job training (OJT), self-study, required readings, knowledge-based walk-throughs, or other learning method to meet IDP requirements and document for supervisor's review.

4.3.8 Coordinate with Training Manager on identification of available training courses, offered schedules, and other resources.

- 4.3.9 Identify recurrent training/qualification requirements and enhancement/development training and document on IDP for short- term and long-term developmental goals.
- 4.3.10 Provide objective feedback to management and training personnel on the effectiveness and relevance of training.
- 4.3.11 Participate in the re-qualification and continuing training activities to maintain qualification proficiency in technical and subject matter areas as contained in primary functional area and Office/Facility/Position-Specific Qualification Standards.
- 4.3.12 Obtain approval for all training and education classes prior to enrolling in any training class.
- 4.3.13 Complete the requirements of a continuing service agreements if one is assigned.

4.4 Training Manager

- 4.4.1 Coordinates Federal Employee training activities with the Service Center National Training Center and ETS, as needed.
- 4.4.2 For courses sponsored by the M&O Contractor (i.e., site-specific courses), receives examination results and other materials (i.e., certificates of completion) verifying student completion. For non-M&O Contractor courses including off-site courses, sends documentation of training and examination results, if applicable, to the Service Center.
- 4.4.3 Makes available current training and continuing education course offerings for Federal Staff and provides assistance as needed.

NOTE: This information is also accessible on the Web. The Service Center home page address contains Training Bulletins and catalogs, the Technical Qualification Programs, and Standards.

- 4.4.4 Maintains and makes available Individual Record of Training/Experience Forms (Reference 3.20) and Competency Equivalency/Exemption Forms (Reference 3.18) to the Federal Staff.
- 4.4.5 Tracks training progress for personnel in the Training Program and assists as requested with the preparation of IDPs.

- 4.4.6 Maintains the re-qualification and continuing training program. Tracks progress of the re-qualification activities of the technical staff.
- 4.4.7 In coordination with line management, takes action to improve the department-wide Technical Qualification Standard (TQS) training program, based on program feedback, by providing feedback to the Service Center, as appropriate.
- 4.4.8 Develops and maintains a TQP applicability listing to track position and employee assignments. Provides quarterly status reports to the FTCP, through the FTCP agent.
- 4.4.9 Provides orientation training to SMEs who are designated to serve as Qualifying Officials regarding their duties and responsibilities, if required.
- 4.4.10 Coordinates and/or performs self-assessment of Federal training programs according to the YSO assessment schedule and documents in Pegasus. Supports the FTCP assessments per Section 6.11 of this procedure.
- 4.4.11 Develops and revises YSO Office/Facility/Position-Specific Qualification Standards and/or oversees development of YSO-specific training modules/materials as may be needed.
- 4.4.12 Interfaces with the M&O Contractor Site Training Manager, as needed for Contractor-sponsored training courses, and with outside assessors of Training Program.
- 4.4.13 Serves as SME and Qualifying Official for training-related matters and participates in employee evaluation as training SME when requested.
- 4.4.14 Evaluates Training Impact Assessments on all YSO procedure changes and implements required training in accordance with Reference 3.11.
- 4.4.15 Serves as a proctor for independent study course written examinations taken by Federal Staff.
- 4.4.16 Notifies employees of upcoming expiration of required training.
- 4.4.17 Provides support and orientation/training, as needed, to individuals assigned to perform oral based examinations, per Reference 3.6.
- 4.4.18 Manages and administers the YSO Required Reading Program.
- 4.4.19 Manages and administers the Continuing Training Program for the Technical Staff, Management Team, and Facility Representatives.
- 4.4.20 Participates, supports, and maintains the Accreditation process as described

in Reference 3.6 and 3.12.

- 4.4.21 Analyzes and documents participation of technical matrix support personnel in the TQP. Documentation, as a minimum, will be a memo to the YSO FTCP Agent and filed in the individual's training file.
- 4.4.22 Performs and documents any gap analysis on updated standards for requalification.
- 4.4.23 When filling a vacant position, performs an evaluation of the knowledge, skills, and practical factors of the position relative to the job assignment to ensure the appropriate training is assigned.
- 4.4.24 Performs training needs analysis for YSO and generates the appropriate documentation.
- 4.4.25 Develops Qualification cards/standards for TQP participants as needed within 60 days of their designation to participate in the TQP and within 90 days of the re-qualification due date.
- 4.4.26 Develops in-house training when needed using references 3.15, 3.16, and 3.17.

4.5 Qualifying Officials (QO)

- 4.5.1 Shall evaluate a trainee in such a manner (oral checkout, written exam, walkthrough, etc.) that he/she demonstrates adequate understanding of the subject being reviewed before signing off on a qual card.
- 4.5.2 Completing any required training on the roles and responsibilities of a QO in the YSO TQP.
- 4.5.3 Determining the specific knowledge and skills the trainee must have from any source material at his/her disposal.
- 4.5.4 Understands the expectation of the YSO Manager that any person can be questioned about a subject for which he/she has been evaluated and can provide an answer which demonstrates acceptable knowledge of the subject.
- 4.5.5 Provides any documentation from a review to the Training Manager for disposition.
- 4.5.6 Assist in the development of exam bank questions for their area of expertise.

4.6 Federal Technical Capability Panel Agent

- 4.6.1 Maintains qualifications as an STSM.
- 4.6.2 Transmits a notice to the FTCP Chair and the NNSA TQP Manager when an individual is assigned STSM responsibilities; participate in the identification of STSMs for YSO and be responsible for notification of the Panel and the NNSA TQP Manager regarding any changes to the YSO list of STSMs, either positions or individuals.
- 4.6.3 Reviews, approves, and sign the YSO QO List and ensures it is transmitted to the NNSA TQP Manager for inclusion in the NNSA wide QO listing.
- 4.6.4 Review and approve requests from YSO Managers for participants who enter into the TQP.
- 4.6.5 When serving as the qualifying official for an STSM, review qualification standards, documentation evidence, and sign the qualification cards as appropriate.
- 4.6.6 Ensure updates for the FTCP quarterly report are submitted on time to the FTCP Chair.
- 4.6.7 Ensure field element management team members are informed of the status of complex-wide high priority initiatives related to the FTCP.
- 4.6.8 Represent YSO on the FTCP and elevate potential TQP issues as appropriate, to the YSO Management Team, FTCP Chair, and NNSA Service Center Director.
- 4.6.9 Ensure the documentation of any equivalencies for STSMs and identification and coordination of compensatory measures, if necessary.
- 4.6.10 Review STSM vacancy announcements and PDs for conformance with office and Federal Technical Capability Order requirements.
- 4.6.11 Work with the NNSA Headquarters/Lead Agent, other Agents, and the NNSA TQP Manager to ensure integrated execution of the TQP across NNSA.
- 4.6.12 Conduct of periodic self-assessments of the TQP. Use the performance objectives and criteria from Reference 3.6 to evaluate the effectiveness of the TQP.
- 4.6.13 Ensure there is an appropriate continuing training program implemented at their site.

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- 4.6.14 Assist the YSO Management Team in identifying sufficient resources to satisfy the commitments of this plan.
- 4.6.15 Reviews and concurs, when appropriate, on all extensions to initial qualification and requalification due dates.
- 4.6.16 Solicit information and feedback, as appropriate, regarding improvement of technical capability of the workforce.
- 4.6.17 Keep YSO management and staff informed of progress of FTCP activities and seek support as necessary.
- 4.6.18 Concurs on Duty Limitation Letters for non-STSM employees; for the STSMs, will determine compensatory measures and/or duty limitations.

5.0 GENERAL

5.1 Technical Qualification Program

- 5.1.1 Facility Representatives will not be required to qualify or re-qualify under the requirements of this procedure. The FR program is defined and implemented per References 3.2, 3.3, and 3.4.
- 5.1.2 The System Engineers assigned as Safety System Oversight (SSO) are included in the Technical Qualification Program and will perform initial qualification and re-qualification as defined in this procedure; however, the specific duties and responsibilities of the SSO functions are defined in Reference 3.12.
- 5.1.3 For initial qualification, each SSO will complete the YSO Qualification Standard for SSOs, Reference 3.13.
- 5.1.4 The Qualification Card is used to document the qualification candidate's specific competency requirements. The IDP is used to document the plan that the technical employee has for their completion of training either through equivalencies, performance demonstrations, or as they are achieved by training or other learning activities while on the job.
- 5.1.5 Each TQP participant will have 18 months to complete initial qualification. This time period starts when the participant is formally enrolled in the TQP program. The date for entry into the program is determined by the immediate supervisor.

5.2 Core Training Requirements for YSO Technical Personnel

- 5.2.1 All YSO TQP personnel shall maintain current in the following administrative policies:

- 5.2.1.1 Manual of Safety Management Function, Responsibilities, and Authorities (FRAM)
- 5.2.1.2 Y-12 Site Office Management System Description
- 5.2.1.3 YSO Policy YSO-P-01, *Workforce Diversity*
- 5.2.1.4 YSO Policy YSO-P-02, *Equal Employment Opportunity*
- 5.2.1.5 YSO Policy YSO-P-03, *Anti-Harassment*

5.2.2 All YSO TQP personnel shall maintain current in the following procedures:

- 5.2.2.1 YSO-1.9 – *“Assessment Planning and Scheduling”*
- 5.2.2.2 YSO-2.1 – *“YSO Technical Qualification Training Program”*
- 5.2.2.3 YSO-3.2 – *“Assessment Reporting & Issues Management”*
- 5.2.2.4 YSO-4.2 – *“Preparation and Configuration Management of Command Media and Records”*
- 5.2.2.5 YSO-5.10 – *“Shutdown Directives and Stop Work Orders”*

5.2.3 All YSO TQP personnel shall maintain a familiarity level of knowledge of the NQA-1 consensus standard.

5.3 Duty Limitations

- 5.3.1 Prior to starting the initial qualification process, the individual's supervisor shall determine any limitations of the TQP participant's duties and provide the details to the Training Manager.
- 5.3.2 The supervisor and Training Manager shall clearly document the duties and responsibilities of the TQP participant during the initial qualification via a letter.
- 5.3.3 The Training Manager will generate a Duty Limitation Memorandum (an example is shown in Attachment 3) and obtain the FTCP Agent concurrence. A signed copy shall be provided to the employee.
- 5.3.4 An individual with duty limitations may work under the direct supervision of a qualified employee in that subject area.
- 5.3.5 In the case of an employee who transfers positions, the supervisor will determine the extent in which assigned duties should be limited.
- 5.3.6 The Training Manager shall incorporate this documentation into the individuals' official training record.
- 5.3.7 The FTCP Agent is responsible for determining and documenting appropriate compensatory measures and/or duty limitations for STSM positions.

5.4 Continued Service Obligations

Circumstances may require the YSO Management Team to consider developing and using a Continued Service Obligation for an individual specific training activity (exceeding 160 hours). This process is managed by the NNSA Service Center Human Resources Department under the guidance of the Office of Personnel Management Federal Training Policy (Reference 3.23) and DOE Manual 360.1-1B, *Federal Employee Training Manual*, Chapter III (Reference 3.7). Should the determination be made to generate a Continued Service Obligation, this will be referred to the SC Human Resources Department for action.

6.0 ACTION STEPS

6.1 Determining TQP Applicability

NOTE: TQP requirements do not apply to personnel assigned to a technical position for a “detail assignment” of 90 days or less.

- 6.1.1 The Training Manager shall draft a list of all YSO individuals who will participate in the TQP based on the initial input from the Management Team. This list will be the YSO TQP Applicability Matrix and will be the official list of YSO TQP participants as required by Reference 3.6.
- 6.1.2 The AM or SPD determines which technical employee(s) under his/her supervision who will fill positions responsible for providing technical direction or oversight to the Y-12 National Security Complex and provide this information to the Training Manager. The primary (and secondary, if applicable) functional area assignments and office/facility specific standards are shown on the TQP Applicability Matrix.
- 6.1.3 The Training Manager finalizes the TQP Applicability Matrix for coordination.
- 6.1.4 The Y-12 Site Manager reviews and approves the Matrix. When approved, the Training Manager forwards to the NNSA TQP Manager at the Service Center.
- 6.1.5 The Training Manager forwards to the NNSA TQP Manager, additions, changes, and deletions to the TQP applicability listings resulting from personnel changes within 30 days following the action.
- 6.1.6 The Y-12 Site Manager confirms by memorandum to the FTCP Chairperson, given the current TQP applicability listings that a review of qualification applicability is conducted on an annual basis and needed changes are made. Ensure that the NNSA TQP Manager is notified of qualification applicability changes.

6.2 Development of the Employee's Technical Qualification Standard (TQS) and Qualification Card

- 6.2.1 The final qualification card and standard shall be developed and provided to the participant within 60 days of their designation as a TQP participant.
- 6.2.2 The process begins with the selection of specific qualification competencies. The Training Manager obtains an electronic/paper copy of the General Technical Base and Primary Functional Area standards from the FTCP homepage or the Directives homepage.
- 6.2.3 The Training Manager shall perform a Job Task Analysis (JTAs) for all new YSO positions created after January 1, 2011. Completed JTAs must be retained in the official training records.
- 6.2.4 The Training Manager, with the supervisor's concurrence, selects competencies from the YSO TQS's technical position-specific qualification requirements (e.g., Facility Management, Material Recycle and Recovery, Radiological Control, Emergency Management, etc.) to identify development activities.
- 6.2.5 With input from the AM or SPD, the Training Manager in coordination with the employee, determines the employee's Office/Facility/Position-Specific Functional Area qualification competency requirements, including practical factors, and generates a draft TQS.
- 6.2.6 Individuals assigned Federal Project Director duties for line item projects must use the Project Management Career Development plan as their functional area qualification standard.
- 6.2.7 When developed, the Training Manager obtains the supervisor's concurrence and submits the draft TQS to the AM or SPD for review and approval.
- NOTE:** The form and level of specificity of office/facility/position-specific qualification standard should be similar to those of the General Technical Base and Primary Functional Area qualification standards, which can be used as examples. Also, line management has developed facility specific standards for Facility Representatives. These may also be used as examples.
- 6.2.8 Upon reaching agreement on the candidate's competency requirements, the AM or SPD and employee review each competency in the TQS. The TQS is finalized based on all completed forms.
- 6.2.9 When the employee's TQS is approved, the Training Manager notifies the NNSA TQP Manager at the Service Center of initial qualification start date and the required updates.

6.3 Preparation of the Individual Development Plan

6.3.1 Preparation of the IDP.

NOTE: IDPs are typically prepared during the first quarter of the fiscal year following completion of prior year Employee appraisals. Completion/approval is normally required by the end of the second quarter.

6.3.1.1 Prior to developing the IDP, the Training Manager will issue a template which provides training courses/information necessary to complete the individual IDP.

6.3.1.2 The IDP is a web-based process that is accessed through the Employee Self Service (ESS) website. From the DOE homepage, access ESS through the web address <https://mis.doe.gov/ess>.

6.3.1.3 After completing ESS login, select the IDP menu and choose the "IDP Start Page" option. Follow the instruction to create a new IDP.

NOTE: More detailed information on each step of the IDP process is also provided at this web address. The employee may request assistance from the Training Manager if needed.

6.3.1.4 The system will send an e-mail to the employee indicating that the IDP has been reviewed and signed or requesting that the employee set up a meeting to discuss the IDP.

6.3.1.5 The AM or SPD then reviews the electronic IDP and any supporting documentation of completion and/or exemption. Any hard copy supporting documentation will be sent to the Training Manager.

6.3.2 Upon approval of all YSO IDPs, the Training Manager will review all approved IDPs and perform a needs assessment for the fiscal year.

6.3.2.1 The Training Manager will compile the training identified in the IDPs and evaluate requested training courses to determine if the training could be satisfied through alternative learning methods, such as web-based training and for specified delivery schedules.

NOTE: For training with a specified delivery schedule, the Training Manager will discuss the delivery schedule with the appropriate manager(s) to determine if the training will be delivered as requested, could be rescheduled, and those that could possibly be eliminated.

6.3.2.2 The needs assessment will include estimated budget information associated with each training course and will result in a summary report of all anticipated training needs by YSO organization.

- 6.3.2.3 The report will be documented in the Pegasus database.
- 6.3.2.4 The Training Manager will review each training course derived from the IDPs and will recommend the courses be prioritized as follows:
- Priority 1 – Compliance – Training required by law of regulation, training required by Federal, state, or local law.
 - Priority 2 – Directed by Management – Training prescribed by a DOE/NNSA official, such as supervisory training or the EEO/Diversity stand-down, training required by DOE/NNSA Directives or other Government regulations or requirements.
 - Priority 3 – Job Related – Training specific to an employee's work, such as a federal budget process course or on-the-job training, training required by position-, organization-, or mission-specific requirements.
 - Priority 4 – Individual Development – Activities needed to develop or enhance new knowledge, skills, or abilities, training desired for personal growth and professional enhancement.
- 6.3.2.5 Training Manager will discuss the results with the appropriate managers. The managers will determine the adjustments to be made to their training needs and/or their training budgets and provide the training consultant with that information.
- 6.3.2.6 Training Manager will revise the report with the modifications to the training needs and/or training budget estimates.
- 6.3.2.7 The final report will be provided to the YSO Management Team for review. Each Manager will review the training needs and estimated budget for his/her organization and provide comments or concurrence to the Training Manager.
- 6.3.2.8 Upon final concurrence of the training needs analysis report, the Training Manager will forward to ETS for incorporation into the YSO Training Records.
- 6.3.2.9 In conjunction with the Service Center and ETS, the Training Manager will take appropriate actions to request and schedule the training courses in accordance with the assigned priorities and appropriate management approvals.
- 6.3.2.10 Provides completed YSO training needs assessment to the DOE National Training Center (NTC), Service Center, and/or ETS when

requested.

6.4 Conduct of the Qualification Activities

- 6.4.1 The Training Manager monitors the employee's qualification progress and assists the employee in enrolling in formal training courses as needed. The Training Manager shall provide this status to the employee's AM or SPD.
- 6.4.1.1 The TQP Participant has 18 months to complete the initial qualification.
- 6.4.1.2 For individuals who have completed qualifications at other sites and transferred to YSO, or have transferred positions within YSO, the appropriate Assistant Manager/SPD shall establish an appropriate qualification date (time limit) for completion of the necessary competencies to qualify in the new position. The Assistant Manager/SPD shall inform the Training Manager of the qualification date for tracking purposes.
- 6.4.1.3 When an employee transfers from another DOE Office to a YSO TQP position, the supervisor, with assistance from the Training Manager, first identifies the required FAQs and the specific competencies from the appropriate YSO office/position specific qualification standard.
- 6.4.1.4 If an office/position specific standard is not available, then the employee and the Training Manager shall develop a standard per section 6.2. Once the competencies have been identified, the supervisor and/or a QO, conducts a review of the employees previous qualifications to determine which are transferable to the YSO TQP.
- 6.4.1.5 Acceptance of transferred qualifications is based on the appropriate evaluation of the individual's level of knowledge by the supervisor/QO. If the supervisor/QO is satisfied that all the qualification requirements are transferrable, the supervisor signs the qualification card as appropriate.
- 6.4.2 The Individual Record of Training/Experience Form (Reference 3.20) may be completed, if necessary, based on the type of training activity used to satisfy the competency. Use of this form for documentation is optional.
- 6.4.3 The AM or SPD may establish specific practical exercises and/or tasks to the trainee's qualification requirements. The practical factors shall correspond to the specific work assignments unique to the trainee's position and will ensure sufficient knowledge of the requirement is demonstrated.

- 6.4.4 The Training Manager shall ensure that the practical factors are included in the qualification card.
- 6.4.5 The technical employee (qualification candidate) shall satisfy each competency in his/her qualification standard by performance of any or all of the following activities.
 - 6.4.5.1 Reviewing the applicable qualification standard, including applicable references such as DOE Orders and Standards, facility procedures, drawings, system descriptions, program guidance training materials, etc.
 - 6.4.5.2 Enrolls in formal training, including classroom, college course, seminar, or workshop.
 - 6.4.5.3 Schedules a qualification walk-down and/or interview with a Qualifying Official, using only those references allowed by the applicable qualification standard.
 - 6.4.5.4 Completes the self-study material as required.
- NOTE:** For each of the activities listed, the candidate is responsible for compiling the appropriate documentation as evidence of completion of each competency.
- 6.4.5.5 Completes all practical factors assigned by the AM or SPD and obtains the appropriate QO's signature in accordance with Section 6.10.
- 6.4.6 The Qualifying Official has the option to use different methods to ensure that the employee can demonstrate proficiency in the competency(ies) before signing the appropriate portion of the Qualification card. The QO may choose to perform a walk-down, perform an oral evaluation (interview), or administer a written examination with the technical employee in order demonstrate the proper level of knowledge using the following guidance. The QO and the employee have the option of using the Individual Record of Training/Experience Form (Reference 3.20) to document the activity.
 - 6.4.6.1 Observation of Performance. 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.
 - 6.4.6.2 Written Examination. The Training Manager may, upon request,

generate a written examination for those competencies that lend themselves to written examination. This is accomplished with the assistance of the Service Center, who maintains an exam bank for the General Technical Base and Functional Area Qualification Standards (FAQS). The Training Manager may assist the QO to ensure tests are valid, and correlate appropriate knowledge and skills supporting these competencies.

- 6.4.6.3 Written exams shall 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.
- 6.4.6.4 Written examinations are proctored and reviewed with the employee upon completion. A score of 80% is considered a passing grade for all written examinations.
- 6.4.6.5 Oral Evaluations. 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.
- 6.4.6.6 Oral evaluations shall be pass/fail only. The person administering the oral evaluation may take notes on the participant's responses. The QO may send a summary of areas covered to the Training Manager for inclusion in the participant's qualification record. The choice to generate notes during an oral evaluation is optional. When a supervisor is given an oral evaluation by a QO who is a direct report, the YSO FTCP Agent should participate in the oral evaluation as a quality assurance review.
- 6.4.6.7 Written examination or notes on oral evaluation or observations of performance shall be maintained on site.
- 6.4.7 Several of the FAQS require expert level competencies. Based on the employee's work history, he/she may not have had sufficient opportunity (through no fault of their own) to gain sufficient experience to demonstrate expert level of knowledge in the specific topic(s) defined in the expert level competencies. To allow the employee to proceed in the qualification process unencumbered, the following step will be taken.
 - 6.4.7.1 The Training Manager will confer with an appropriate qualified

SME/QO who will review the expert level competencies and validate that the employee, based on the amount of experience and demonstrated level of knowledge of the specific topic(s) in the expert level competencies.

- 6.4.7.2 The Training Manager will generate an examination based on the expert level competencies using the guidelines of Reference 3.15 and limited in scope to the specific expert level competencies from the FAQs.
 - 6.4.7.3 The appropriate SME/QO for the functional area will review the exam and ensure it is technically accurate and of sufficient depth and scope to address the expert level competencies.
 - 6.4.7.4 The employee's supervisor and/or Assistant Manager/Senior Project Director will review and approve the exam.
 - 6.4.7.5 The Training Manager will administer the exam and grade it; the appropriate SME/QO and Assistant Manager/Senior Project Director will review and concur on the exam results. Upon successful completion of the exam, which will be a minimum passing score of 80%, the SME/QO will sign off the appropriate competencies on the employee's qualification card.
 - 6.4.7.6 Should the employee not achieve a passing score, the Training Manager and SME/QO will perform remediation steps as stated in Section 6.9.1; of this procedure.
 - 6.4.7.7 Completed examinations will be retained by the Training Manager in the official training records.
- 6.4.8 After all the competencies in the Qualification Standard are completed and documented, including a final written examination if required, the AM or SPD and/or Y-12 Site Manager shall conduct an oral qualification checkout. The Individual Record of Training/Experience Form (Reference 3.22) may be used to document this checkout.
- 6.4.9 Upon completion of the oral qualification checkout, the Qualification Card is signed by the appropriate AM or SPD and/or Y-12 Site Manager and forwarded to the Training Manager. STSMs are recommended for qualification by the next senior STSM or the FTCP Agent.

6.4.10 Completed qualification documentation shall be sent to the Training Manager for the official records.

6.5 Equivalency for Training Competencies

6.5.1 All equivalencies shall be reviewed by and concurred with, the appropriate AM or SPD and then provided to the Y-12 Site Manager for final approval.

6.5.2 Equivalencies shall be used ONLY when all other forms of training (i.e., classroom, OJT, oral exam, etc.) are NOT available. Equivalences shall therefore be used as a last resort to completion of any competency(ies).

6.5.3 If an equivalency is required, the candidate(s) must complete a Competency Equivalency Form (Reference 3.18) and provide a detailed justification for this action.

6.5.4 If an equivalency is approved by the Y-12 Site Manager, the completed, signed Competency Equivalency Form and any supporting documentation is sent to the Training Manager for records disposition.

6.5.5 All approved equivalencies shall be documented on the qual card by indicating "EQ" in the Evaluation Method column for each competency satisfied by the equivalency.

6.5.6 The appropriate QO shall review the equivalency and concur. Any disagreement between the QO and the trainee will be resolved by the appropriate manager.

6.6 Extension

6.6.1 An extension of qualification/re-qualification may be granted to an individual or a group on a case-by-case basis. Extensions may also be granted for medical circumstances. Normally, those extensions are granted for situations beyond their control.

6.6.2 The individual requesting the extension initiates the process by completing Extension Request Form (Reference 3.19). Documentation for the request shall include, at a minimum, the following:

6.6.2.1 The length of the requested extension (maximum of 180 days).

6.6.2.2 A detailed explanation of the circumstances that prevents the individual or group from completing the requirements.

6.6.3 The request is then reviewed and concurred on by the appropriate AM or SPD(s) and FTCP Agent and submitted to the Y-12 Site Manager for approval.

6.6.4 During the extension period, either the appropriate AM or SPD and Training Manager should monitor the progress in satisfying the competency(ies).

NOTE: The closure and documentation of the competency(ies) is accomplished per steps 6.4.5 through 6.4.7.

6.6.5 When an extension is needed because the individual exceeded the assigned qualification period 18 months for initial qualification and 5 years for requalification as specified by YSO procedures), the individual's supervisor shall complete the Extension Request Form.

6.6.6 The AM/SPD shall provide the following specific information on the Extension Request Form.

6.6.6.1 A justification for the extension which includes the reason for not meeting the due date.

6.6.6.2 A plan for completion of qualification requirements, including defining the planned management actions taken during the extension period to ensure success.

6.6.6.3 Identification of any specific duty limitations related to the specific qualification area(s); the individual's responsibilities as a subject matter expert (e.g., ORRs, Technical Reviews, etc.) in the qualification area not met will be restricted at the discretion of the FTCP Agent and/or supervisor.

6.6.7 The AM/SPD shall obtain the employee's signature on the form, sign it and send it to the FTCP Agent for concurrence/approval in a formal memorandum.

6.6.8 When the FTCP Agent concurs/non-concurs, the Site Manager shall review and approve/disapprove the extension, the completed package is sent to the Training Manager for processing and filing. In the case of disapproval, the FTCP Agent and supervisor determine appropriate corrective action.

6.6.9 The Training Manager shall inform the individual and responsible AM/SPD of the new due date and provide a copy for information. The original is then filed in the training record file.

6.6.10 Should there be extenuating circumstances, such as pending retirement, extended illness, the individual's supervisor and the FTCP Agent will determine the length of extension, not to exceed 6 months from the

qualification/requalification due date, per Reference 3.6.

- 6.6.11 Should the individual not complete all the qualification requirements at the end of the extension period, the individual cannot perform their duties as required and will be placed in remediation and proceed as specified in section 6.9 of this procedure. The individual will not be permitted to requalify or qualify in another functional area until remediation is resolved.
- 6.6.12 Should the individual be physically/mentally unable to perform his/her TQP duties, the supervisor needs to determine the proper course of action in accordance with DOE/NNSA procedures.

6.7 Re-qualification Process

- 6.7.1 Prior to the end of the five-year qualification period, the Training Manager will perform a "gap" analysis of current requirements in the TQP participant's standards. This analysis shall be performed before the re-qualification card is generated.
- 6.7.2 The gap analysis will be performed as follows:
 - 6.7.2.1 The most recent revisions of the General Technical Base, Functional Area Qualification Standard and Site/Position Specific standards will be reviewed against the qualification standards to which the technical person previously qualified or re-qualified.
 - 6.7.2.2 Any changes in the standards since the last qualification completion will be evaluated and included in the re-qualification card as appropriate.
 - 6.7.2.3 The Training Manager shall verify any need for new or additional practical factors to be added to the qualification card with the individual's supervisor.
- 6.7.3 The Training Manager will generate a re-qualification card and compile the necessary supporting documents to the technical person to complete re-qualification.
- 6.7.4 TQP personnel (STSMs, FRs, SSOs, SMEs, and FPDs) seeking re-qualification must satisfy competencies generated from the GTB gap analysis, and site specific requirements as follows.

NOTE: A sample re-qualification card is provided in Attachment 2.

- 6.7.4.1 Maintenance of a familiarity level of knowledge with the following YSO procedures and policy documents. The individual shall read and study the YSO procedure. The individual has the option to either sign the re-qualification card or complete the Individual Record

of Training/Experience Form (FORM-YSO-2.1-6.7.4.1) for documentation.

- YSO-1.9, *Assessment Planning and Scheduling*
- YSO-3.2, *Assessment Reporting and Issues Management*
- YSO-4.2, *Preparation and Configuration Management of Command Media and Records*
- YSO-5.10, *Shutdown Directives and Stop Work Orders*
- YSO-P-01, *Workforce Diversity*
- YSO-P-02, *Equal Employment Opportunity*
- YSO-P-03, *Anti-Harassment*
- Other procedures and/or policies as deemed necessary by YSO Management
- FRAM
- YSO Management System Description/Quality Assurance Program

6.7.4.2 Maintenance of a familiarity level of knowledge on the general layout, purpose, and hazards associated with the facilities listed in Reference 3.10. This is accomplished in the individual's Performance Appraisal Plan by maintaining Proficiency requirements as follows:

- 6.7.4.2.1 Perform walk downs in at least three facilities each year.
- 6.7.4.2.2 Document the walk down as a YCON-1 Assessment in Pegasus.
- 6.7.4.2.3 Perform at least 2 assessments, surveillances, or observations in their area of expertise and document in Pegasus.
- 6.7.4.2.4 Complete at least 20 hours of technical training (at least 6 of these hours must be classroom training).

NOTE: Classroom training (minimum 6 hours) includes courses sponsored by academic institutions, professional organizations, DOE/NNSA, a DOE/NNSA contractor, and/or courses provided by outside agencies/organizations such as Department of Defense, Office of Personnel Management, etc. In general these courses will be documented through CHRIS.

NOTE: Participation in performance based technical exercises is considered technical training. A technical exercise includes such activities as operational readiness reviews, readiness assessments, drills, or

exercises with the emergency management cadre member or alternate, or preparing and delivering a technical paper at a conference. Technical training also includes attendance at annual workshops or seminars including those sponsored by professional societies for the primary functional area.

6.7.4.3 At the end of the 5 year requalification period, the requalification card will have a single signature line to verify that proficiency was maintained. This is done by the individual's supervisor as part of the Performance Appraisal Process and is validated on the requalification card.

6.7.4.4 Should an individual fail to meet proficiency requirements, the Supervisor should consider suspending qualifications and taking remedial action per section 6.9 of this procedure.

6.7.5 Completion of any additional training requirements identified by the immediate supervisor.

6.7.6 Complete a re-qualification interview with your immediate supervisor and document on either the Individual Record of Training/Experience Form or the re-qualification card. The focus of the interview is for the immediate supervisor to perform a final verification that (1) the trainee has completed all the necessary requirements for re-qualification, and (2) that the trainee has a level of knowledge commensurate with the completed training. The supervisor will satisfy this by choosing a sampling of questions and be satisfied that the trainee has achieved an acceptable level of knowledge.

6.7.7 Personnel may combine competencies into one activity. For example, participation in an ORR or another DOE/NNSA Site activity for 2 weeks would provide credit for an assessment activity and 80 hours of professional development.

6.7.8 Each competency shall be reviewed by a Qualifying Official as described in Section 6.10.

6.7.9 All documentation shall be provided to the YSO Training Manager for processing.

6.7.10 The YSO Manager shall provide final approval when all re-qualification activities are complete.

6.8 Continuing Training

6.8.1 The technical personnel who have completed initial qualification in their primary functional area will be required to participate in continuing training in order to maintain their proficiency

- 6.8.2 The YSO Continuing Training Program will include the following:
- 6.8.2.1 Access training (see step 6.8.3).
 - 6.8.2.2 YSO required reading.
 - 6.8.2.3 Re-qualification elements (80 hours professional development), as defined in step 6.7.4.6.
 - 6.8.2.4 Topical Training (described below).
- 6.8.3 All YSO personnel shall maintain the following training requirements as defined in Section S1.0 of the YSO Technical Qualification Standard, Reference 3.10.
- General Employee Training
 - Employee Emergency Plan
 - Storm Water Pollution Prevention
 - Use of Portable Fire Extinguishers
 - Annual Security Refresher
 - Computer Security Awareness
 - Classified Matter Protection and Control
 - Operational Security (OPSEC) Awareness
 - Management of Government Property
 - Manual of Safety Management Function, Responsibilities, and Authorities (FRAM)
 - Y-12 Site Office Management System Description
 - YSO Policy, YSO-P-01, *Workforce Diversity*
 - YSO Policy, YSO-P-02, *Equal Employment Opportunity*
 - YSO Policy, YSO-P-03, *Anti- Harassment*
- 6.8.4 Topical Training may be in a briefing or classroom-type format with a minimum duration of one-half hour. Each session will be conducted by either an SME on the subject, video, or the Training Manager. The topics presented should be applicable to all YSO personnel at the discretion of the YSO Management Team.
- 6.8.5 The Service Center will provide annual updates of any orders, standards, etc., referenced in individuals' qualification standards to the YSO Training Manager for inclusion in the YSO continued training program.
- 6.8.6 The Training Manager will review the updates with the appropriate Assistant Manager/SPD and add any additional training requirements and practical factors identified as needed. References 3.2, 3.10, or 3.13 may be used to determine the additional requirements and practical factors. The Assistant

Manager/SPD's will determine completion due dates based on the update's content, individual workload, etc.

- 6.8.7 With the appropriate Assistant Manager/SPD's approval, the Training Manager will then provide the updates to the respective TQP participant and generate the appropriate actions in Pegasus.
- 6.8.8 The completed update information will be returned to the Training Manager for inclusion into the training records.
- 6.8.9 Possible topics for Topical Training include the following:
- Differing Professional Opinions
 - Startup/Restarts
 - Stop Work Authority
 - PAAA
 - YSO Procedure Process
 - DOE Directives Process
 - Baseline Change Process (BCP) Process
 - YSO Interface with DNFSB
 - YSO Assessment Process
 - Construction Safety
 - Electrical Safety
 - Lessons Learned (any topic or topics)
 - Training Impact Assessments
 - Incidents of a Security Concern (IOSC)
 - Technical Surveillance Countermeasures Program
 - Project Management
 - Contractor generated documents
- 6.8.10 Any Contractor generated document designated by YSO Management for inclusion in the YSO Continuing Training Program shall be evaluated as follows.
- 6.8.10.1 Each document shall be provided to the Training Manager for consideration. The documents may consist of site procedures and/or updates, standing orders, implementation plans, etc.
- 6.8.10.2 The Training Manager will determine (with assistance from YSO management where appropriate) to which Subject Matter Expert(s) the document applies.
- 6.8.10.3 The Training Manager will forward the document to the appropriate SME(s) with a request to evaluate the document for applicability to YSO and for training impact.

- 6.8.10.4 The SME will evaluate the document and recommend the target audience for the continuing training; this information will then be provided to the Training Manager.
- 6.8.10.5 Based on the input from the SME, the Training Manager will determine the method of training (required reading, briefing, classroom, etc.) and initiate the appropriate training in 10 working days. This training will be assigned as actions in Pegasus.
- 6.8.10.6 Unless otherwise determined by management, these training actions will be due for completion in 30 days.

6.9 Employee Remediation

- 6.9.1 Upon failure of the employee to meet any qualification competency, the AM or SPD performs the following:
 - 6.9.1.1 If the failure involved an individual qualification competency, or a final qualification activity (written examination, facility walkdown, or oral examination), informs the employee that appropriate remedial training will be provided prior to retesting.
 - 6.9.1.2 Assists the employee in identifying study materials based upon demonstrated weak areas.
 - 6.9.1.3 As appropriate, ensures the employee is relieved of other duties during the remedial training period.
 - 6.9.1.4 Recommends retesting upon completion of remedial training.
 - 6.9.1.5 The Qualification Candidate studies the required materials to prepare for retesting and participates in retesting.
 - 6.9.1.6 Upon two consecutive failures of a comprehensive written examination, oral evaluation, or facility walkdown, the AM/SPD reviews the results with the FTCP Agent and makes a determination if the employee will be removed from the program or be authorized additional remedial training and retesting.
 - 6.9.1.7 The Y-12 Site Manager, based on a recommendation from the FTCP Agent and the AM/SPD, determines if the employee will be removed from the TQP or be authorized additional remediation and retesting.

NOTE: If the Y-12 Site Manager authorizes additional training and retesting, employees who are deficient in a competency area must rely on another person qualified in that competency for decisions in that

subject until the deficiency is removed. (This is the approved compensatory measure.)

- 6.9.2 Should the employee fail to meet qualification or re-qualification completion time requirements for their primary qualification functional area(s), the FTCP Agent and the individual's supervisor initiate the following actions.
- 6.9.2.1 The AM/SPD will extend the completion date per Section 6.6,
 - 6.9.2.2 Pursue, implement, and approve appropriate compensatory measures to maintain the individual's position.
 - 6.9.2.3 Establish duty limitations/restrictions where the individual will not perform any work related to the qualification area except under the direct supervision of a qualified individual.
 - 6.9.2.4 The FTCP Agent and AM/SPD may determine that full restriction from work activities in the individual's qualification area may be necessary. In this case, NNSA Human Resource policies and procedures will be followed.
 - 6.9.2.5 The AM/SPD will monitor the individual's progress on a regular frequency to ensure successful completion of qualification requirements.
 - 6.9.2.6 When the AM/SPD is satisfied that the individual has successfully completed all qualification/requalification requirements, the results are submitted to the FTCP Agent for review and concurrence. The FTCP Agent may wish to perform additional knowledge checks before concurrence.
 - 6.9.2.7 With the FTCP Agent's concurrence, the individual schedules a final checkout with the Y-12 Site Office Manager for the final review and sign-off.
- 6.9.3 The AM or SPD and the Y-12 Site Manager ensure a management review of competencies is conducted when employees do not perform work associated with their areas of qualification during a three-year period and do not maintain proficiency.
- NOTE:** These employees may be required to do self-study, OJT, attend courses, etc., to improve proficiency.
- 6.9.4 If an employee does not meet the Proficiency requirements (reference step 6.7.4.2), the re-qualification will be suspended until the proficiency requirements are met. Satisfactory completion of proficiency is dependent on what specific elements are not completed. This is reviewed by the individual

with his/her supervisor and with the assistance of the Training Manager (as needed). The level of performance is also considered as part of the Performance Appraisal Process.

6.10 Qualifying Officials

- 6.10.1 The AMs or SPD designate technical personnel within their respective organizations who have specific subject matter knowledge to serve as Qualifying Officials. The designation shall be based on review of education, experience and specific knowledge factors as documented in the individual's TQP, resume, and/or personnel file. The level of expertise shall correspond to the TQP competency to be qualified.
- 6.10.2 SMEs from outside the YSO organization may be used for YSO qualification checkouts. This need must be evaluated on a case-by-case basis; these individuals are subject to the same QO requirements as stated in this procedure, specifically section 6.10 and must receive the training on the YSO Manager's expectations. The Training Manager will coordinate any selection/training of SMEs from outside the YSO organization and must revise the QO list accordingly.
- 6.10.3 Qualifying Officials shall be designated based on these three major factors:
- 6.10.3.1 Education - SMEs should have an engineering or related science or business degree in the specific area of expertise.
- 6.10.3.2 Experience - SMEs shall have a minimum of five years experience in the engineering, science, or business field. The SME must also have had a minimum of 3 years experience in the specific area of expertise which consists of the performance of relevant job assignments which require specific knowledge of the subject they are to perform.
- 6.10.3.3 Site Specific Knowledge - SMEs should have reviewed and have developed a working level of knowledge of all relevant DOE Orders, standards, and site specific procedures. In addition, the SME must have a familiarity level of knowledge of industry standards applicable to their position. If the area of expertise involves a facility or process at Y-12, the SME must have a working level knowledge of that facility or process, including the layout, hazards (nuclear and industrial), key documents (such as operating procedures, DSAs, and OSRs), operations, mission, and contractor organization.
- 6.10.4 The AMs or SPDs submit the list of designated Qualifying Officials to the Training Manager for compilation. Attachment 1 lists an example of an approved Qualifying Officials list.

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- 6.10.5 The Qualifying Officials list is then submitted to the Y-12 Site Manager for approval. The Y-12 Site Manager may choose to perform an interview with any or all individual(s) both as part of the approval process and to provide his/her expectations and objectives in the performance of the Qualifying Officials responsibilities.
- 6.10.6 The Training Manager is responsible for maintaining the Qualifying Officials list current.
- 6.10.7 The Qualifying Officials list is subject to frequent revision, and therefore maintained separate from this procedure. Contact the Training Manager to verify a requested Qualifying Official prior to use.
- 6.10.8 The approved Qualifying Officials, when their services are requested, prepare for qualification evaluation duties by reviewing applicable TQP knowledge elements, which may include development of exam questions in their area of expertise or reviewing proposed revisions to FAQs they qualified to.
- 6.10.9 The Qualifying Official is required to maintain a working level of knowledge in their technical or business areas and stay current with any changes to their functional area Qualification standard. The Training Manager will provide new revisions to the appropriate QO through the FTCP.

6.11 Federal Technical Capability (FTC) Program

The FTC Program provides for the recruitment, deployment, development, and retention of Federal personnel with the demonstrated technical capability to safely accomplish the Department's missions and responsibilities. This program is administered by the FTCP which is chartered by DOE Policy (see Reference 3.9). Reference 3.6 provides a detailed description of this program.

6.11.1 Workforce Analysis and Staffing Plan

The YSO Management Team shall conduct an annual workforce analysis of the organization and develop a staffing plan that identifies critical technical capabilities and positions that ensure safe and secure operations. Specific details of this process can be found in Reference 3.6, Section 4.b.(1).

- 6.11.1.1 The YSO FTCP Agent shall coordinate the conduct of the analysis and the development of the staffing plan report.
- 6.11.1.2 The workforce analysis and staffing report shall be developed and used as a basis for developing the YSO staffing strategy.
- 6.11.1.3 The workforce analysis identifies the critical technical capabilities that must be maintained to ensure safe and secure operations.

6.11.1.4 The FTCP Agent shall ensure the report is reviewed and concurred by the YSO Management Team and approved by the Y-12 Site Manager.

6.11.1.5 The FTCP Agent transmits the report to the FTCP Chair, with a copy to the Executive Secretary of each year.

6.11.2 Senior Technical Safety Manager (STSM) selection process

NOTE: The STSM Program description is provided in Appendix D of Reference 3.6.

The following positions are designated STSMs in YSO:

1. Site Manager
2. Deputy Site Manager
3. Senior Project Director
4. Assistant Manager for Operations Management
5. Assistant Manager for Engineering, Safety, & Environment
6. Lead Operations Engineer

6.11.2.1 The FTCP is responsible for overseeing the formal process by which STSM positions are filled, including approving additions or deletions to the list of YSO STSM positions.

6.11.2.2 The YSO Training Manager maintains a list of approved YSO STSM positions. This list may be electronic.

6.11.2.3 New STSM positions/individuals and deletions to the current list are identified and requested by the appropriate YSO direct report.

6.11.2.4 The request is reviewed by the YSO Management Team, which includes the FTCP Agent. Once concurrence is received, the request is submitted to the Y-12 Site Manager for approval.

6.11.2.5 The FTCP Agent is responsible for presenting the YSO request to the FTCP for approval. This request is in the form of written memorandum to the Chairperson, of the FTCP and provides a written justification for the designation.

6.11.2.6 The YSO Training Manager maintains the records relating to the requests for changes to the STSM positions and updates the current listing of STSM positions when changes are approved.

6.11.2.7 STSMs shall requalify every 5 years. The YSO Training Manager will provide a requalification package at least 60 days prior to the requalification due date.

6.11.2.7.1 Initial qualification for STSMs must be performed through satisfactory completion of a comprehensive written examination with a minimum passing score of 80 percent AND either of 2 optional activities:

1. Satisfactory completion of an oral examination by a qualified STSM or a qualified oral board of technically qualified personnel that is led by an STSM, or,
2. 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.

6.11.2.7.2 Requalification will be accomplished by re-qualifying to changes since the last qualification (initial or re-qualification) to the latest version of the STSM FAQs at a frequency of every five (5) years. In addition, the STSMs will complete one of the following activities as part of the requalification process.

1. Satisfactory completion of a comprehensive written examination with a passing score of 80 percent, or,
2. Satisfactory completion of an oral examination by a qualified STSM or a qualified oral board led by an STSM, or,
3. Satisfactory completion of a walk-through of a facility or facilities with a qualifying official for verifying knowledge of and practical skills related to selected key elements.

6.11.2.8 The NNSA TQP Manager (at the SC) will notify the YSO STSMs 18 months prior to their requalification due date.

6.11.3 FTCP Self Assessments

6.11.3.1 Biennially, self-assessments are required. These assessments are the responsibility of the FTCP Agent, and shall be performed using the criteria in Section 4.b.(7) of Reference 3.6. Assessments of the YSO TQP, STSM Program, and the FR Program shall be included in the biennial review.

6.11.3.2 The self-assessments should be led by a YSO STSM.

6.11.3.3 A final report shall be generated, using the guidance in Section

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4.b.(7) of Reference 3.6.

- 6.11.3.4 The self-assessment report shall be provided to the FTCP Agent for concurrence.
- 6.11.3.5 Once concurrence is received, the Training Manager shall generate a corrective action plan, if needed, and provide to the FTCP Agent for approval.
- 6.11.3.6 Once approved, the final report and corrective action plan will be provided to the FTCP.
- 6.11.3.7 The Training Manager will ensure that all actions are entered into the Pegasus System per YSO-3.2, Assessment Reporting and Issues Management (Reference 3.8).

6.12 Required Reading

The necessity for required reading is determined from various sources, such as, the Training Impact Assessments, assessment results, management direction, etc. The Pegasus database and Y-12 plant SAP system are equipped to notify, implement, and track required reading material. The following are steps to process required reading-type information for YSO personnel.

- 6.12.1 The required reading process may be initiated by completion of a Required Reading Request Form (Reference 3.21) from a YSO staff member (the initiator).
 - 6.12.1.1 Use of this form is optional, however if the form is used, the following information shall be included in the request.
 - Document number (or unique identifier), revision level, and title Document Location (Y-drive, network, etc.)
 - If only portions of the document are designated as required, then specify those pages and/or sections.
 - Target Audience; who needs to be aware of the contents of the required reading in order to perform their assigned duties.
 - Identify and attach any supporting documentation for the required reading.
 - 6.12.1.2 The initiator shall obtain the appropriate management approval on the Required Reading Request Form.
 - 6.12.1.3 The initiator shall provide the required reading material to the

Training Manager for review and concurrence.

6.12.1.4 The Training Manager shall assign a completion date on the Required Reading Request Form for each document needing required reading. Unless otherwise specified, all required readings will be completed within 30 calendar days of Training Manager concurrence.

6.12.2 If the B&W SAP database is used for a specific YSO Required Reading, the Training Manager is responsible for recording the information into the B&W SAP database as needed.

6.12.3 The SAP system produces a report showing completion status of each required reading. The Training Manager shall provide this report to YSO Management as appropriate.

6.12.4 If the Pegasus database is used for YSO Required Readings, the Training Manager may assign Required Readings as actions in the Pegasus database as needed.

6.13 Feedback and Improvement

6.13.1 Qualification candidates shall have the option to provide feedback and provide recommendations for improvement of the qualification process by completing the Feedback and Improvement Report (Reference 3.22).

6.13.2 After the final interview with the Y-12 Site Manager, the trainee is encouraged to complete the Feedback and Improvement Report and provide it to the YSO Training Manager for disposition.

6.13.3 The YSO Training Manager shall evaluate the feedback and initiate revisions to the process as necessary.

6.13.4 The YSO Training Manager shall also evaluate candidate feedback for lessons learned and initiate appropriate action.

6.13.5 Completed candidate evaluations shall be maintained in the official training records.

6.14 TQP Accreditation Process

NOTE: The TQP Accreditation Process is defined in detail in Reference 3.6, Appendix C.

6.14.1 The YSO FTCP Agent or designee formally notifies the Chairman, FTCP and the TQP Accreditation Support Office (EH-2) of YSO's intention to accredit the TQP program.

- 6.14.2 The YSO Training Manager will lead a detailed, in depth, self-assessment of the TQP program using the criteria listed in Reference 3.7, Appendix C.
- 6.14.3 The self-assessment will be documented in the PEGASUS system. The YSO Training Manager will be responsible to resolve any issues resulting from the assessment.
- 6.14.4 The YSO FTCP Agent will formally transmit the self-assessment report to the TQP Accreditation Support Office after any issues are resolved. The transmittal memorandum will also declare YSO readiness to conduct an on-site accreditation review.
- 6.14.5 The Accreditation Support Office shall form an accreditation review team that is led by an STSM and may consist of support office staff, outside experts and peer reviewers from other sites. These evaluations typically last about one week and will result in a final report that documents any areas of YSO's program that needs improvement. The report and its results will be logged into PEGASUS.
- 6.14.6 The YSO Training Manager will be responsible for resolving any areas of improvement.
- 6.14.7 The report is then submitted to the TQP Accreditation Board for Review and deliberation. This seven member board typically meets 2 to 3 months following the accreditation review team evaluation. The board meeting is attended by YSO Senior Management and the YSO FTCP Agent. Additional staff may attend at the discretion of YSO Senior Management.
- 6.14.8 The Deputy Secretary of Energy will make the final decision regarding TQP Accreditation. Accreditation is valid for 4 years.
- 6.14.9 The YSO Training Manager and FTCP Agent are responsible for conducting regular self-assessments to maintain the TQP accreditation. All assessments will be scheduled and documented in PEGASUS.
- 6.14.10 The same process will be used to renew YSO Accreditation every 4 years.

7.0 YSO Official Training Files

7.1 YSO Official Training Files

NOTE: YSO will maintain a file of individual training records. The following documents will be included in the YSO Training Files.

- 7.1.1 Original completed Qualification cards.

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- 7.1.2 Completed written and oral examination results (if applicable).
 - 7.1.3 Competency Equivalency/Exemption Form (Reference 3.20) with objective evidence used as a basis for proof of equivalency.
 - 7.1.4 Completed Extension Request Forms (Reference 3.21).
 - 7.1.5 Completed Individual Record of Training/Experience Forms (Reference 3.22).
 - 7.1.6 Certificates, attendance records, or other evidence of completed training requirements.
 - 7.1.7 Copy of Certificate of Completion of Technical Qualification.
- NOTE:** YSO will maintain record copies of the following documents:
- 7.1.8 Copy of approved and/or updated Position Standards.
 - 7.1.9 Approved Qualifying Officials List.
 - 7.1.10 List of personnel in the TQP and their assigned functional area and office/facility/position specific standard.
 - 7.1.11 Feedback and Improvement Forms.

8.0 DEFINITIONS AND ACRONYMS

8.1 Definitions

Accreditation – A process that enables DOE Headquarters and field organizations to demonstrate that they have an effective program in place to ensure the technical competency of DOE technical employees whose duties and responsibilities require them to provide assistance, guidance, direction, oversight, or evaluation of contractor activities that could impact the safe operation of a defense nuclear facility.

Competency Equivalency – Requirement satisfied based on objective evidence that an individual has prior education, experience or training that meets the competency requirement. Approval of an equivalency shall be by the Y-12 Site Manager.

Competency Exemption – The granting of relief from a competency requirement, based on a decision that the employee will not perform the tasks associated with that requirement in his/her current position.

Competency Requirements – The knowledge, skills, and abilities which an employee must possess before he or she may independently perform job-related duties and responsibilities. Each competency requirement has a corresponding qualification standard developed to measure the level of the employee's performance.

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Continued Service Obligation – A continued service agreement is a written obligation to work for DOE for a specific time period; must be required for each individual training activity that exceeds 160 training hours (Reference 3.7, Chapter III).

Defense Nuclear Facility – All reactor and non-reactor nuclear facilities which are or have been involved in defense-related activities for DOE.

Department-Wide General Technical Base Qualification Standards – Specific knowledge and skill requirements (categorized in topical area) based upon related industry practices and management direction. The Assistant Secretary for Human Resources and Administration is responsible for coordinating the development and maintenance of the technical-base qualification standard.

Department-Wide Functional Area Qualification Standards – These qualification standards build on the competencies established in the technical base qualification standards are based upon a functional analysis of general position requirements and accepted practices. The Assistant Secretary for Human Resources and Administration is responsible for coordinating the development and maintenance of the Department-wide technical specialist qualification standards.

Extension – The addition of an extra time period to the defined period for qualification. The duration of the extension is not to exceed ninety (90) days and is reviewed on a case-by-case basis. The proposed extension is reviewed by the appropriate AM(s) or SPD(s) and approved by the Y-12 Site Manager. Only the Y-12 Site Manager or Deputy Manager will approve extensions to qualification.

Federal Technical Capability (FTC) Program – A Department-wide program whose objective is to recruit, deploy, develop, and retain Federal personnel with the necessary technical capabilities to accomplish the Department’s missions and responsibilities in a safe and efficient manner.

Federal Technical Capability Panel (FTCP) – A group of Senior Managers designated to represent Headquarters and Field elements with defense nuclear facility responsibilities. The FTCP is responsible for performing assessments, general oversight, and resolution of issues affecting the Department’s Federal Technical Capability Program. The panel is also responsible for making recommendations to Department officials regarding DOE technical capability.

Federal Technical Capability Panel Agent – Individual who represents YSO on the FTCP and ensures FTCP requirements are met as they apply to YSO.

Gap Analysis – A comparison between the revision of the national qualification standards that were in place at the time of qualification and the revision in place at the end of the 5-year re-qualification period.

Individual Development Plan – An individually-tailored plan established between the

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AM or SPD and technical employee outlining the employee's short- and long-range qualification requirements and the means (e.g., formal training, OJT, or developmental assignment) for achieving these qualifications within a specified time frame.

Needs Analysis – Process by which a position's tasks, duties, and responsibilities are analyzed to identify formal training, self-study, required reading, or OJT which improve knowledge and skills for job performance.

Office/Facility/Position-Specific Qualification Standards – These qualification standards build upon the department-wide functional area qualification standards for a position and are based upon a functional analysis of specific position requirements. These standards shall be developed by each Operations/Program Office.

Practical Factors – Performance-based activities used to demonstrate knowledge in a specific qualification competency. Practical factors may include, but are not limited to the following.

- Observation of specific work activity in a facility that corresponds with the subject matter of the competency (example – observe a maintenance job, review work control practices observed with a QO for a maintenance sign-off),
- Presenting a technical paper at a conference,
- Participation in training modules that utilize a simulator,
- Observation of a contractor procedure verification and validation in a Y-12 facility,
- Performance of a review on an Authorization Basis document (BIO, SER, etc.) and perform a walk down of the controls in the field,
- Participate on a team assessment of a program, both contractor and YSO, and/or,
- Participation as a team leader/member at YSO or another DOE site, for a readiness review or accident investigation.

Qualification – The knowledge, skills, and abilities gained through education, training, and experience that, when measured against established qualification standards, and when approved by management, allow an individual to perform the required functions, duties, and responsibilities of his or her job position.

Qualification Card – A record of the specific knowledge, skills, and practical factors for a job position that is used to track the qualification/re-qualification process.

Qualification Standards – A set of qualification requirements, built upon position descriptions, vacancy announcements, and site-specific functional area requirements for a position. These requirements are developed by each Operations/Program Office.

Qualifying Official – A Qualifying Official is a SME who has programmatic responsibility or first-hand technical knowledge associated with the subject area. Qualifying Officials sign qualification documentation or submit other equivalent documents to the Training Manager verifying the employee meets established qualification standards as they are completed. AMs or SPDs select Qualifying

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Officials from within their organizations. The Y-12 Site Manager approves the designation of Qualifying Officials.

Required Reading – A form of training in which portion(s) of a document is deemed necessary for reading and verification of understanding by YSO Management. Specific personnel are designated to receive this training.

Safety System Oversight (SSO) – YSO Staff identified as System Engineers (SE) who provide oversight of the M&O contractor with respect to the defined SSO area of coverage in support of maintenance and operations activities. The SE concept is a mechanism for applying technical expertise to maintain the design basis, control configuration, and trend performance of designated vital safety systems at Y-12.

Technical Personnel – All DOE personnel in 800 and 1300 occupational series, and others who, according to their duties and responsibilities, provide guidance, oversight, or evaluation of contractor technical activities at defense nuclear facilities. This group includes managers of technical employees and those responsible for technical training and qualification.

Training Manager – A staff member appointed by the Y-12 Site Manager to maintain the training program requirements for the YSO technical personnel and to coordinate training activities with the Service Center and the Y-12 Plant Training Department.

Training Files – Files containing the official training records for all employees and maintained by the YSO Training Manager.

Written Examination Bank – A document or database containing those examination questions and answers, either hard copy or on disk necessary to create a final comprehensive written examination for competencies in the qualification standards.

8.2 Acronyms

AM – Assistant Manager
BCP – Baseline Change Proposal
DSA – Documented Safety Analysis
EEO – Equal Employment Opportunity
ESS – Employee Self Service
ETS – Enterprise Training Services
FAQS – Functional Area Qualification Standard
FR – Facility Representative
FRAM – Functions, Responsibilities, and Authorities Manual
FTCP – Federal Technical Capability Panel
IDP – Individual Development Plan
IOSC – Incident of a Security Concern
JTA – Job Task Analysis
M&O – Management & Operating (Contractor)
NNSA – National Nuclear Security Administration

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NTC – National Training Center
OJT – On-the-Job Training
ORR – Operational Readiness Review
PAAA – Price Anderson Amendment Act
PMCDP – Project Management Career Development Program
QO – Qualifying Official
SME – Subject Matter Expert
SPD – Senior Project Director
SSO – Safety System oversight
STSM – Senior Technical Safety Manager
TQP – Technical Qualification Program
TQS – Technical Qualification Standard
YSO – Y-12 Site Office

9.0 ATTACHMENTS

Attachment 1 –Qualifying Officials List (Example)
Attachment 2 – Re-qualification Card (Example)
Attachment 3 – Sample Duty Limitation Memorandum for Initial Qualification

ATTACHMENT 1

Primary Functional Area*	Qualifying Officials**
Aviation Safety Officer/Aviation Manager	Scott Hawks
Chemical Processing	Jim Goss, Ken Ivey
Civil/Structural Engineering	Harry Peters, Dale Christenson
Construction Management and Engineering	Harry Peters, Anna Beard
Criticality Safety	Ed Kendall
Deactivation and Decommission	John Glenn, Brian Henry
Electrical Systems	Roger Kulavich, Steve Wellbaum
Emergency Management	Scott Hawks
Environmental Compliance/Restoration	Jim Donnelly, Susan Morris
Facility Maintenance Management	Tony Dull
Facility Representative (Part I, Section 1.0)	Terry Olberding, Mark Sundie
Facility Representative (Part I, Section 3.0)	Any Qualified Facility Representative (See Note 1)
Facility Representative (Part II)	Any Qualified Facility Representative
Facility Representative (Part III)	Qualified Facility Representative (Facility/Group Specific)
Fire Protection	Rodney Barnes, Susan Morris
Industrial Hygiene	Paul Jones, Susan Morris
Instrumentation and Control	Roger Kulavich, Dave McGinty
Mechanical Systems	Dave McGinty
Nuclear Safety Specialist	Jim Goss, Nathaniel Horne, Ken Rhyne
Occupational Safety	Susan Morris, Dan Hoag
Project Management (Federal Project Director)	Harry Peters, Anna Beard, Dale Christenson, Dan Hoag, Jim LaForest, Don Peters, Teresa Robbins
Quality Assurance	Chuck Smolens, Don Peters, Mike Glasman
Radiation Protection	Paul Jones
Safeguards & Security	Donat St. Pierre, Sharon Daly
Safety Systems Oversight (SSO)	Rodney Barnes, Roger Kulavich, Dave McGinty (System Specific) (See Note 2)
Senior Technical Safety Manager	Ted Sherry, Ken Ivey, Terry Olberding, Dan Hoag, Susan Morris, Jim Goss
Software Quality Assurance	Sherry Hardgrave, Chuck Smolens, Mike Glasman
Technical Program Manager	Rick Collier, Bob Edlund, Mark Livesay
Technical Trainer	Mark Sundie
Transportation and Traffic Management	Scott Hawks
Waste Management	Jim Donnelly
Weapons Quality Assurance	Mike Glasman, Sherry Hardgrave, Leslie Schaffer

Personnel listed above are authorized to sign competencies contained in these DOE Primary Functional Area Standards with the exception of the topical area competencies listed on pages 2 and 3.

* The YSO Manager, Deputy Manager, Assistant Managers, and Senior Project Director may sign any competency in the DOE/NNSA Technical Qualification Program.

Topical Areas	Qualifying Officials
General Technical Base (GTB)	Ken Ivey, Terry Olberding, Dan Hoag, David Wall, Donat St. Pierre
Specific areas in the GTB: Radiological Controls & Theory Environmental Management ISM/OSHA/IH Fire Safety Industrial Hygiene Conduct of Ops/Occurrence Reporting Quality Assurance Authorization Basis Requirements/Docs	These individuals may sign these GTB specific areas: Paul Jones Jim Donnelly, Susan Morris Susan Morris, Paul Jones Rodney Barnes, Susan Morris Paul Jones, Susan Morris Any Qualified Facility Representative Chuck Smolens, Don Peters, Mike Glasman Narsaiah Karne, Jim Goss, Ken Rhyne
Authorization/Safety Basis	Narsaiah Karne, Jim Goss, Ken Rhyne
Business Management/Contracts	Tom Vereb, Jill Albaugh
Conduct of Operations	Any Qualified FR, Mark Sundie
Configuration Management	Jim Goss, Dave McGinty
DNFSB	Jim Goss, Ken Rhyne, Narsaiah Karne
DOE Directive System	Assistant Managers, Senior Project Director (See Note 3)
Employee Concerns	Sam Gaines, Assistant Managers, Senior Project Director
Facility Walk-downs (Y-12 Manufacturing)	Qualified Facility Representative (Facility Group Specific)
ISMS	Assistant Managers, Senior Project Director, Susan Morris
Issues Management	Assistant Managers, Senior Project Director, Elizabeth Hale
NEPA	Pam Forman, Susan Morris, Terri Slack
Occurrence Reports/Assessments/Investigations	Terry Olberding, Any Qualified Facility Rep
ORRs/Readiness Assessments	Terry Olberding, Jeff Cravens, Mark Sundie, Dale Christenson
PAAA	Mike Glasman, Terri Slack
Personnel Practices/Communications	Assistant Managers, Senior Project Director
Problem Solving and Decision Making	Assistant Managers, Senior Project Director
Root Cause, Trending, and Analysis	Assistant Managers, Senior Project Director, Any Qualified FR, Dale Christenson
Security, Classification Security, Cyber Security, Information Security, NMC&A Security, Personnel Security, Physical Security, Protective Force Security, Protective Program Management	Scott Hawks, Jerry Howell Mary Helen Hitson, Dave Kent Sharon Daly, Mary Helen Hitson David Young, Richard Green Sharon Daly, Tina Ard Donat St. Pierre, Sharon Daly, Joseph Noecker Donat St. Pierre, Sharon Daly Donat St. Pierre, Sharon Daly, Mary Helen Hitson
Site Access and MAA Access	Assistant Managers, Senior Project Director, Mark Sundie
Weapons Programs, Principles, and History	Assistant Managers, Senior Project Director, Rick Collier
Web-Based Qualification Training Courses	Assistant Managers, Senior Project Director, Mark Sundie
Y-12 Site/Facility Briefing	David Wall, Dan Hoag, Ken Ivey
Function, Responsibilities, and Authorities Manual (FRAM)	Assistant Managers, Senior Project Director, Elizabeth Hale

Topical Areas	Qualifying Officials
Management System Description (MSD)	Assistant Managers, Senior Project Director, Elizabeth Hale
YSO-1.9, Assessment Planning & Scheduling	Elizabeth Hale, Mark Sundie, Travis Howerton
YSO-2.1, Technical Qualification Training Program	Mark Sundie, Terry Olberding
YSO-3.2, Assessment Reporting and Issues Management	Elizabeth Hale, Mark Sundie, Travis Howerton, Jeff Cravens
YSO-4.2, Preparation and Configuration Management of Command Media and Records	Elizabeth Hale, Mark Sundie, Travis Howerton, Jeff Cravens
YSO-5.10, Shutdown Directives and Stop Work Orders	Assistant Managers, Senior Project Director, Mark Sundie
YSO Position-Specific	Assistant Managers, Senior Project Director, Qualified SME in the specific position

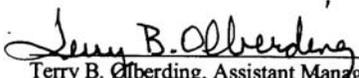
- Note 1: The following Facility Representatives are authorized to sign qualification cards for the following:
 Group I Facilities: Jason Campbell, Michelle Durham, Mike Glasman, Ted Hirsch, Stan Watkins, Steve Wellbaum
 Group II Facilities: Scotty Afong, Jeff Cravens, Mike Miller
 Group III Facilities: Tony Dull, Mike Glasman, Catherine Schidel, Ken Williams
- Note 2: Refer to the latest Nuclear Safety Team Assignments in Pega for specific SSO system assignments. (Authorized SSOs are Rodney Barnes, Roger Kulavich, and Dave McGinley.)
- Note 3: Assistant Managers are Ken Ivey, Terry Olberding, and Donald P. Pierce. The Senior Project Director is Dan Hoag.

Submitted:


Mark A. Sundie, Manager
YSO Training

1-07-2011
Date

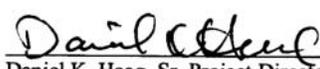
Concurrence:


Terry B. Alberding, Assistant Manager
Operations Management

1/7/2011
Date


James E. Goss, Acting Assistant Manager
Engineering, Safety & Environment

1/7/2011
Date


Daniel K. Hoag, Sr. Project Director
Project Directorate

2/1/11
Date


Donald St. Pierre, Assistant Manager
Safeguards and Security

1-7-11
Date

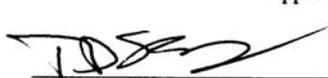

Thomas E. Vereb, Assistant Manager
Programs & Business Management

2-1-11
Date


Kenneth D. Ivey, Jr., Acting
Deputy Manager, Y-12 Site Office

2/4/11
Date

Approved:


Theodore D. Sherry, Manager
Y-12 Site Office

2/8/11
Date



**ATTACHMENT 2
NATIONAL NUCLEAR SECURITY ADMINISTRATION
Y-12 SITE OFFICE**



PARTICIPANT:	FUNCTIONAL AREA QUALIFICATION STANDARD Y-12 SITE OFFICE/POSITION SPECIFIC REQUIREMENTS RE-QUALIFICATION CARD	STANDARD: YSO TQP
ENTER CANDIDATE'S NAME		ISSUE DATE: DECEMBER 2006

NOTE: When regulations, Department of Energy Directives, or other industry standards are referenced in the Qualification Standard, the most recent version should when used.

No.	REQUIRED COMPETENCIES	EVALUATION METHOD*	INCUMBENT INITIALS & DATE	QO SIGNATURE	DATE
1.0	YSO POLICIES AND PROCEDURES				
1.1	YSO-1.9, <i>Assessment Planning and Scheduling</i>				
1.2	YSO-2.1, <i>Technical Qualification Training Program</i>				
1.3	YSO-3.2, <i>Assessment Reporting and Issues Management</i>				
1.4	YSO-4.2, <i>Preparation and Configuration Management of Command Media and Records</i>				
1.5	YSO-5.10, <i>Shutdown Directives and Stop Work Orders</i>				
1.6	YSO FRAM				
1.7	YSO Management System Description				
1.8	YSO-P-01, <i>Workforce Diversity</i>				
1.9	YSO-P-02, <i>Equal Employment Opportunity</i>				
1.10	YSO-P-03, <i>Anti-Harassment</i>				
2.0	FACILITY KNOWLEDGE				
2.1	Group I Facilities (EUO/ACO)				
	Building 9212				
	Building 9215 (EU)				
	Building 9995				
2.2	Group II Facilities (AO/MM)				
	Building 9204-2E				
	Building 9720-5				
	Building 9720-82				
2.3	Group III Facilities (DUP/SMP/DEV)				
	Buildings 9215 (Non-EU)				
	Building 9998				
	Building 9996				
	Building 9212 A2 Wing				



**ATTACHMENT 2
NATIONAL NUCLEAR SECURITY ADMINISTRATION
Y-12 SITE OFFICE**



No.	REQUIRED COMPETENCIES	EVALUATION METHOD*	INCUMBENT INITIALS & DATE	QO SIGNATURE	DATE
	Building 9201-5N				
	Building 9201-5W				
	Building 9204-2				
	Building 9206				
	Building 9225-03				
	Building 9202				
	Building 9203				
	Building 9731				
3.0	FIELD ASSESSMENTS, SURVEILLANCES, AND OBSERVATIONS				
3.1	Activity 1: Type Date Performed:				
3.2	Activity 2: Type Date Performed:				
3.3	Activity 3: Type Date Performed:				
3.4	Activity 4: Type Date Performed:				
3.5	Activity 5: Type Date Performed:				
3.6	Activity 6: Type Date Performed:				
4.0	PROFESSIONAL DEVELOPMENT				
4.1	Complete 80 hours professional development				
5.0	POSITION SPECIFIC COMPETENCIES				
	Enter Position Specific Competencies Here				



ATTACHMENT 2
NATIONAL NUCLEAR SECURITY ADMINISTRATION
Y-12 SITE OFFICE



NATIONAL NUCLEAR SECURITY ADMINISTRATION	
TECHNICAL QUALIFICATION PROGRAM	
RE-QUALIFICATION CARD CERTIFICATION OF COMPLETION	
<p>The candidate, (enter candidate's name), has successfully completed an oral examination and is recommended for re-qualification in the enter name functional area.</p>	
_____	_____
ASSISTANT MANAGER	DATE

QUALIFICATION CARD COMPLETION VERIFICATION	
<p>I have reviewed the qualification card and verified all Qualifying Official signatures are valid.</p>	
_____	_____
MARK A. SUNDIE, YSO TRAINING MANAGER	DATE

ENTER FAQs NAME RE-QUALIFICATION	
<p>The candidate, (enter candidate's name), has successfully completed his/her final oral examination and is hereby fully re-qualified in the (enter name) functional area.</p>	
_____	_____
THEODORE D. SHERRY, SITE MANAGER	DATE

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ATTACHMENT 3 – Sample Duty Limitation Memorandum for Initial Qualification



National Nuclear Security Administration

Y-12 Site Office
P.O. Box 2050
Oak Ridge, Tennessee 37831

MEMORANDUM FOR: ***[TQP Participant Name], [Job Title]***

FROM: Mark A. Sundie, Training Manager

SUBJECT: Duty Limitation and Compensatory Measure
Determination, ***[Functional Area]*** Position for Initial
Qualification

This memo records the determination of duty limitations and compensatory measures for the position of ***[Functional Area]***.

Because you are completing your initial qualifications in the Y-12 Site Office Technical Qualification Program (TQP), a determination of duty limitations and/or compensatory measures is required.

Based on my review of your ***[Functional Area]*** position description, review of your previous work history, and an interview of you, I have made the following determination:

- You are hereby required to obtain concurrence from your Assistant Manager/Supervisor ***[Insert Name]*** or me before providing any formal assistance, guidance, direction, oversight, or conducting an evaluation of contractor activities that could impact the safe operation of a Y-12 facility.

A copy of this memo will serve as documentation in your TQP training record as necessary to explain the current conditions. The results of this determination will expire upon your completion of all TQP qualification requirements for the ***[Functional Area]*** position.

Should you have any questions concerning this issue, please contact me.

Concur Non-concur Deputy Manager/FTCP Agent Date