Sandia Site Office Technical Qualification Program Self Assessment Report

ASRP-NO-10.2.2012-469406

Title:	Sandia Site Office Technical Qualification Program Self Assessment
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Self assessment Number:	ASM-NO-9.13.2012-464813
Dates Conducted:	9/17 – 10/12, 2012

Self Assessment Scope

This self assessment examined how Sandia Site Office (SSO) executes the Technical Qualification Program (TQP) as measured by the current Federal Technical Capability Panel criteria review and approach documents (CRADs) included in the assessment plan.

Self Assessment Summary

The Sandia Site Office Technical Qualification Program is implemented. Site office technical personnel responsible for providing assistance, guidance, direction, or oversight that could affect the safe operation of a defense nuclear facility are appropriately qualified to ensure site office mission accomplishment.

This assessment resulted in 2 significant findings, 4 minor findings, and 3 observations. Out of the seven objectives in the CRADs, all were met but one: TQP-3, Plans and Procedures. The issues indicate some instances of poor implementation of the SSO TQP Procedure, primarily isolated to a subset of the site office and related to integration of the program with the human resource functions; thus the TQP-3 objective not being met.

Self Assessment Results

Significant Findings

There are a number of instances where SSO participant TQP records are incomplete (ISS-NO-10.26.2012-476172)

The site office TQP procedure appropriately requires a qualification record management system; however, a sample review of SSO TQP records identified instances where the records are not managed in accordance with the requirements.

Requirement:

SBMS 0603.03, Section 7.12.4: "The TQP Coordinator maintains the following records for each filled TQP position in the central TQP record file:…"

Condition:

Contrary to the above requirement(s), a 35 percent review of the SSO TQP records revealed examples of:

- Incorrect methodology for cross-qualification period extension

- Incomplete evidence for "Evaluation Method" codes
- Missing and incorrect letters of qualification requirements
- Missing records

This is a repeat issue from the 2010 SSO TQP Self-Assessment (SSO-SA-AMFO-FY08-1-O7) and the 2012 SSO CDNS Review (ISS-NO-3.29.2012-429205).

Discussion:

Qualification record management is a pivotal aspect of a strong TQP; failure to maintain accurate evidence of the qualification process can lead to doubt of qualification program effectiveness.

Some SSO TQP-designated positions do not have TQP identified in the position description (ISS-NO-10.26.2012-476175)

The site office TQP procedure appropriately directs the inclusion of TQP requirements in the position descriptions (PDs) of SSO TQP-designated positions; however, a sample review of PDs for SSO TQP-designated positions identified instances where the PDs do not mention TQP in accordance with the requirements.

Requirement:

SBMS 0603.03, Section 7.2.3: "Assistant managers shall use the SSO TQP Position Designation Letter to validate that TQP requirements are properly identified in current position descriptions…"

Condition:

Contrary to the above requirement, not all SSO TQP-designated positions have TQP requirements properly identified in the associated PDs. This issue is a repeat finding from the FY2008 TQP Self-Assessment (SSO-SA-AMFO-FY08-1-F5).

Discussion:

The SSO process for ensuring personnel that provide assistance, guidance, direction, or oversight that could affect the safe operation of a defense nuclear facility – or are responsible for oversight of defense nuclear facility safety of operations – relies on proper integration into the site office human resource process. The process of including TQP in a PD assists in filling the position with personnel that best fit the position and helps ensure personnel filling the position understand what is involved to accomplish the description.

Minor Findings

Not all TQP participants had the TQP requirements mentioned as part of their individual development plans (ISS-NO-10.26.2012-476176)

The site office TQP procedure addresses the requirement for including assigned-position TQP commitments in participant's individual development plan (IDP). However, a review of the IDP system showed that not all TQP participants had the TQP requirement to maintain TQP qualification mentioned as part of their IDPs.

Requirement:

SBMS 0603.03, Section 7.2.3: "Assistant managers shall use the SSO TQP Position Designation Letter to validate that TQP requirements are properly identified in current… …IDPs… "

Condition:

Contrary to the above requirement, a sampling of 19 IDP's found 8 to not include TQP information; six of the eight were from one group, representing all of that group's TQP personnel. This issue was noted as an observation in the FY08 SSO TQP Self Assessment (SSO-SA-AMFO-FY08-1-O9).

Discussion:

The SSO process for ensuring personnel that provide assistance, guidance, direction, or oversight that could affect the safe operation of a defense nuclear facility – or are responsible for oversight of defense nuclear facility safety of operations – relies on proper integration into the site office human resource process. The process of including TQP qualification requirements in IDPs assists DOE in obtaining appropriate training to support the site office TQP process.

There is sufficient evidence to conclude that in some instances the site office TQP procedure is not being implemented as written (ISS-NO-10.26.2012-476180)

The site office TQP procedure is the only governing procedure for the SSO TQP; however – based on the issues identified in this assessment – there is sufficient evidence to conclude that in some instances the SSO TQP Procedure is not being implemented as written.

Requirement:

DOE O 426.1, *Federal Technical Capability*, Section 4.b. (5): "Headquarters and FEMs must implement their TQP Plans."

Condition:

Contrary to the above requirement, the number of issues identified in this assessment that are "procedural adherence-related" indicates that the site office procedure is not fully implemented. It is noted that the "procedural non-compliance" issues are isolated to records management and human resource process interface.

Discussion:

The site office TQP procedure is the only governing and implementing procedure for the SSO TQP. The procedure covers all of the qualification requirements from both DOE O 426.1 and DOE-STD-1063-2011. The procedure is 25 pages in length – with an additional 10 pages of appendices – and spells out the processes for implementing the DOE requirements. Failure to follow the implementing processes can lead to failure of meeting DOE requirements and to an ineffective TQP.

Site office TQP requirements are not consistently addressed in the performance appraisal process (ISS-NO-10.26.2012-476182)

SSO documentation of TQP requirements in the performance appraisal process (performance plans and reviews) needs improvement; of the 15 reviewed, 6 did not mention TQP.

Requirement:

SBMS 0603.03, Section 7.2.3: "Assistant managers shall use the SSO TQP Position Designation Letter to validate that TQP requirements are properly identified in current… … performance plans… "

Condition:

Contrary to the above requirement(s), assistant managers have not consistently documented the qualification requirements related to the SSO TQP in the performance appraisal plans.

Discussion:

The SSO process for ensuring personnel that provide assistance, guidance, direction, or oversight that could affect the safe operation of a defense nuclear facility – or are responsible for oversight of defense nuclear facility safety of operations – relies on proper integration into the site office human resource process. The process of including qualification requirements related to the SSO TQP in the performance appraisal process assists supervisors and participants in managing adherence to site office TQP requirements.

TQP continuing training not in participant individual development plans (ISS-NO-10.26.2012-476183)

Assistant managers are not consistently including the TQP CT requirements in participant's individual development plan (IDP) and performance appraisal plan as directed in the SSO TQP Procedure.

Requirement:

SBMS 0603.03, Section 7.13.2: "Assistant managers must include the requirement to perform a minimum of two continuing training events per calendar year in the annual update of the supervised participants IDP and performance appraisal."

Condition:

Contrary to the above requirement, a review of IDPs and performance appraisal plans indicates that not all SSO TQP participants have the CT participation requirement identified accordingly. Review of completed Individual Records of Continuing Training and Continuing Training Attendance/Completion Rosters indicates that a high percentage of SSO TQP participants complete continuing training events. This assessment determined that many SSO TQP participants that did not submit the form to record CT

completion still completed two or more CT activities during each calendar year. These issues are related to observations in the two previous self assessments.

Discussion:

Continuing training (CT) is a key method of maintaining a highly qualified site office technical staff; a process to ensure TQP participants perform CT related to the assigned technical positions is to place the requirement in a participant's performance appraisal plan. To assist in getting the right training, the CT must also be in the IDP.

Observations

The SSO TQP process for development of the PSQS does not mention incorporation of NNSA-level requirements for any functional area (ISS-NO-10.26.2012-476184)

A review of position-specific qualification standards (PSQSs) for many of the positions in the SSO TQP indicates that the PSQS development process is sufficient for most functional areas. However, review of qualification standards for Safeguards and Security (S&S) positions indicates that the NNSA-level requirements, not captured in an FAQS, are also not identified in the PSQS.

Discussion:

The development of the PSQS is the final step in the process for determining the appropriate competencies and KSAs for each TQP designated position; here the supervisor obtains a set number of "site office-level" qualification items from the SSO TQP Procedure and then develops, in concert with the participant and the TQP Coordinator, additional qualification items. This step could be enhanced by adding a mention of "NNSA-level" qualification items to ensure continuity from the FAQS to the PSQS.

Reference in SSO TQP Procedure is inaccurate (ISS-NO-10.26.2012-476185)

The document number for the *SSO Operations Plan* as identified in the SSO TQP Procedure, Appendix G, is incorrect.

Discussion:

The document number for the *SSO Operations Plan* (SSO CP 0801.01) as identified in the SSO TQP Procedure, Appendix G, does not match the document number for the *SSO Operations Plan* (SSO CP 0801.01.01) in the Sandia Site Office Business Management System.

Detail announcements for TQP positions inadequately addressed the position's TQP requirement (ISS-NO-10.26.2012-476186)

Of the 21 DAs reviewed, 16 were for TQP-designated positions and all of them inadequately addressed the position's TQP requirement.

Discussion:

While SSO has done an excellent job of listing TQP as a requirement for vacancy announcements (VAs) – with 12 VAs reviewed, 6 being TQP positions and all 6 VAs having TQP as a requirement in the VA – detail announcements (DAs) need to have TQP requirements addressed. Of the 21 DAs reviewed, 16 were for TQP-designated positions and all of them inadequately addressed the position's TQP requirement. Thirteen of the DAs did not mention TQP requirements and 3 more, that also did not mention TQP, where designated as "Unclassified Duties Only"; discussions with the personnel office indicate this classification was to distinguish that the DA assignee was not to perform any TQP-related duties. This process is not explained in any site office or NNSA-level procedure or directive.

Methodology

Documents Reviewed:

- 15 SSO TQP participant appraisal plans
- 19 SSO TQP participant individual development plans
- 17 SSO TQP-designated position descriptions
- 6 SSO position vacancy announcements
- 21 SSO position detail announcements
- 17 SSO TQP participant records
- All SSO TQP Continuing Training Records since 2010
- All SSO TQP Feedback and Improvement Forms since 2010
- SSO TQP Position Designation Letter, 9/6/12
- All documents referenced in SSO CP 0603.03, Rev. 3
- FY 2008 Self-Assessment of the SSO Technical Qualification Program
- SSO Corrective Action Plan TQP FY08 Self-Assessment
- SSO TQP Accreditation Review Team Report
- FY 2010 Self-Assessment of the SSO Technical Qualification Program
- Corrective Action Plan for the FY11 SSO TQP Self-Assessment

Interviews Conducted:

- SSO Manager
- Assistant Manager for Safeguards and Security
- Assistant Manager for Performance and Quality Assurance
- SSO FTCP Agent
- SSO TQP Coordinator
- 5 additional SSO TQP participants

Activities Observed:

- SSO Weekly Operations Call (x2)
- SSO Facility Representative Quarterly Training

Document "*SSO TQP Self-Assessment Results Aligned to Objectives and Criteria*" is attached.

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Management Debriefed

Site Office Manager
Deputy Site Office Manager

Assessor's Name	Assessor's Signature	Date
Shirley Ireland Security Assistant	Shirley Ireland	10/25/12
Wendy Sawyer Executive Assistant	Wendy A Sawyer	10/25/12
Dave Rast Waste Management Engineer	David Rast	10/25/12
Allen Tate TQP Coordinator	Allen D. Tate	10/26/12
James Todd (Lead) FTCP Agent		10/26/12

1.1 TQP-1, Demonstration of Competence. The program clearly identifies and documents the process used to demonstrate employee technical competence.

Overall Objective Assessment: Document SSO CP 06003.03, *Technical Qualification Program*, Rev. 3, is in effect and current as of 1/11/12. This procedure references:

- DOE Order 360.1C, *Federal Employee Training*
- DOE Order 426.1, *Federal Technical Capability*
- DOE-STD-1063-2011, *Facility Representatives*
- DOE-HDBK-1078-94, *Training Program Handbook: A Systematic Approach to Training*
- SSO Corporate Procedure 0603.02, *Training and Development Program*
- SSO Corporate Procedure 0804 Series, *Sandia Site Office Oversight*
- TQP Qualification Candidate letters

The SSO TQP is a process set in place help assure that personnel responsible for the oversight of defense nuclear facilities or performing the functions of a TQP position, including temporary assignment or detail, are properly qualified to the expectation of their position.

The process begins with the determination of the federal positions required in the TQP; this determination is formalized in the SSO Technical Qualification Program Position Designation Letter the latest issued September 6, 2012. Personnel filling TQP designated positions are matched with facility area qualification standards (FAQS). A letter of direction is issued to the participant setting forth the completion date, qualification requirements, and expected qualification evaluations.

Qualification activities are defined and established in this correspondence, general technical base, FAQS, and facility or office specific requirements are defined.

The Site Office Manager periodically trains Qualification Officials (QO) to define expectations for the QO signature and evaluation of candidates.

At the completion of the candidate qualification Facility Representative (FR) and Senior Technical Safety Manager (STSM) will be evaluated via written exam and oral board for first time qualifiers. FR, STSM, and Safety System Oversight Engineer (SSOE) will also be required to complete a facility evaluated walkthrough.

Objective met.

1.1.1 At minimum, personnel providing management direction or oversight that could impact the safe operation of a defense nuclear facility have been identified as TQP participants.

Criterion Assessment: In accordance with SSO CP 0603.03, *Technical Qualification Program*, Rev. 3, positions are designated in the TQP. The supervisor (assistant manager), with assistance from the SSO FTCP Agent, reviews the duty functions of a position and recommends participation in the TQP. Currently 51% of the SSO staff is in the TQP. SSO has identified four categories of staff in the TQP program:

- Positions that provided assistance, guidance, direction and oversight that can affect safe operation of defense nuclear facilities
- Positions that are responsible for oversight of defense nuclear facilities safety of operations

• Positions designated in the TQP by external requirements • Positions designated by SSO site office management A review of the SSO mission, the nuclear facilities at Sandia National Laboratories, and the most recent signed SSO TQP Position Designation Letter (9/6/12) indicates the logic used to determine which positions are in TQP is defendable. Criterion met.
1.1.2 IDPs, training plans, technical qualification records, or other related documents are updated to reflect the activities required for each individual to satisfy competencies.
Criterion Assessment: The site office TQP procedure addresses the requirement for including assigned-position TQP commitments in participant's IDPs; the procedure also addresses management of qualification records. However, a review of the IDP system showed that not all TQP participants had the TQP requirement to maintain TQP qualification mentioned as part of their IDPs (**ISS-NO-10.26.2012-476176**). In a sampling of 19 IDP's, 8 were found to not include TQP information; six of the eight were from one group, representing all of that group's TQP personnel. This issue was noted as an observation in the FY08 SSO TQP Self Assessment (SSO-SA-AMFO-FY08-1-O9). Specific performance of SSO TQP records management is recorded in criterion 1.3.5. Criterion not met.
1.1.3 A formal evaluation process is in place to objectively measure the technical competency of employees. The rigor of the evaluation process is commensurate with the responsibilities of the position.
Criterion Assessment: SSO CP 0603.03, *Technical Qualification Program*, Rev. 3, describes the evaluation process, including competency evaluation methods, comprehensive written exams, Facility Evaluated Walkthroughs (FEWs), and Oral Boards, and how the processes are used to evaluate candidates. For TQP participants qualifying as FR or STSM, the TQP Coordinator will create and administer a comprehensive written exam. For TQP participants qualifying as FR, STSM, or SSOE, the TQP Coordinator will set up and administer a FEW for the applicable facilities. TQP participants qualifying for the first time as FR or STSM at SSO, the TQP Coordinator will set up and administer an oral board. The final step in a participant's initial qualification is an interview with the SSO Manager and/or Deputy Manager (the interviewer must be an SSO-qualified STSM). The interview may cover a participant's qualification in multiple TQP-designated positions and if an oral board was conducted, it is counted to meet the requirements of the exit interview. Based on a 10 percent review of SSO TQP records (concentrating on FR and STSM), the site office has adequate record of implementing this process. Criterion met.
1.2 <u>TQP-2, Competency Levels</u>. Competency requirements are clearly defined and consistent with applicable industry standards for similar occupations.
Overall Objective Assessment: Competency requirements are defined in SSO CP 0603.03, *Technical Qualification Program*, Rev. 3 (Sections 7.4.1, 7.4.2, 7.4.4, 7.4.5, 7.4.6, and 7.4.7)

and reflect the expected standards for a DOE TQP. The site office TQP procedure also addresses consideration of individual professional accreditation (Section 7.9) as a method of accomplishing portions of the SSO TQP. Based on the site office use of DOE-approved general technical base and functional area qualification standards (GTB and FAQS) – and the DOE effort to align these standards to industry – the site office competency requirements are consistent with applicable industry standards for similar occupations.
Objective met.

1.2.1 Competency requirements include clearly defined knowledge, skill, and ability [KSA] elements.

Criterion Assessment: The SSO TQP utilizes the DOE-approved GTB and FAQS; each SSO TQP participant is required to complete these standards as written (no edits).
The site office process for development of the position-specific qualification standard (PSQS) follows a logical path and utilizes appropriate KSAs.
Criterion met.

1.2.2 Recognized experts help establish competency requirements.

Criterion Assessment: The GTB and FAQS are reviewed and approved via the DOE document review process. Experts from across the complex participate in the review and approval of the standards. Periodic review to assure the standards are current is part of this process.
Development of PSQS requires the following four sections (as a minimum):

- Formal Training courses the participant must attend to perform the duties of the assigned TQP-designated position.
- Required Reading documents the participant should have at least familiarity-level knowledge,
- Procedures, Processes, and Functions identify only those competencies that are pertinent to the assigned TQP-designated position and are not met through the completion of the GTBQS and applicable FAQS.
- Practical Factors identifies performance-based activities used to demonstrate knowledge in a specific qualification competency, such as, observation of work activity, participation on an assessment or review, etc.

During development, the supervisor (assistant manager)and participant are encouraged to seek additional help from subject matter experts working in the same functional area.
Criterion met.

1.2.3 Related professional accreditation requirements are considered in the program as applicable.

Criterion Assessment: The SSO TQP Procedure addresses consideration of individual professional accreditation (Section 7.9) as a method of accomplishing portions of the SSO TQP. If the profession accreditation is recognized by the FAQS, the site office allows for an equivalency. Review of TQP records shows evidence of the site office implementing this process.
Criterion met.

1.2.4 Competency requirements are identified in the areas listed below. (Note: this does not imply that three separate documents are required.)

1.2.4.1	Basic Technical Knowledge. Competency in areas such as radiation protection, occupational safety, chemical safety, nuclear safety, and environmental regulations.
1.2.4.2	Technical Discipline Competency. Competency in a technical discipline (e.g., mechanical engineering, chemical engineering) that can be demonstrated by education, professional accreditation, examination, or on-the-job performance.
1.2.4.3	Position Knowledge, Skills, and Abilities. Competencies specific to the position, facility, or program and the office.
Criterion Assessment: Review of completed qualification records indicates that the site office uses DOE-approved GTB and FAQS; the PSQSs developed and used follow the SSO TQP Procedure development process. Criterion met.	
1.3 <u>TQP-3, Plans and Procedures</u>. Plans and/or procedures are developed and implemented to govern administration of the program.	
Overall Objective Assessment: The site office has a comprehensive procedure that adequately defines the processes and requirements to implement the TQP. Site office management displays a high level of commitment to the TQP. There is sufficient proof – from the number of criterion and objectives met in this assessment – that the site office procedure is generally implemented as written; however, based on evidence found in specific criterion of this assessment – and failure of the site office to solve the consistent TQP records management issue – the site office TQP procedure is not fully implemented. Objective not met.	
1.3.1 Senior management is committed to the TQP.	
Criterion Assessment: The SSO Manager was interviewed and found to be very knowledgeable of his duties and responsibilities identified in the SSO TQP Procedure. The SSO Manager displayed a high level of commitment to the SSO TQP. The Assistant Manager for Safeguards and Security (AMSS) was also interviewed and was found to be very committed and aware of the duties and responsibilities to properly qualify personnel in the SSO TQP. The AMSS is a TQP-designated position and has completed qualification. The SSO FTCP Agent was interviewed and found to be very knowledgeable of the SSO TQP, the regulating documents, and the current status of the DOE FTCP. The site office attained TQP accreditation in October 2008 and has conducted an additional self-assessment of the TQP in 2010 using SSO and NNSA personnel. The site office is attempting to maintain its current accreditation. All of these facts point to a high level of commitment to a strong TQP. Criterion met.	
1.3.2 Written procedures that adequately define the processes and requirements to implement the TQP are in place.	
Criterion Assessment: The SSO TQP Procedure (SSO CP 0603.03, *Technical Qualification Program*, Rev. 3) was reviewed against the requirements of DOE O 426.1	

(the SSO TQP Coordinator has the Excel spreadsheet as proof) to ensure all DOE requirements for a TQP were met. The most recent revision of the procedure incorporated the qualification requirements of FRs from DOE-STD-1063-2011; the TQP procedure was also reviewed against 1063 (the coordinator has another Excel spreadsheet as proof). Criterion met.
1.3.3 Roles and responsibilities for implementing the TQP are clearly defined and understood by all involved.
Criterion Assessment: Section 5 of the SSO TQP Procedure delineates roles and responsibilities (R2) for all personnel associated with the SSO TQP; as indicated in criterion 1.3.1, SSO senior management is knowledgeable of these R2. Interviews with a number of TQP participants indicate a nominal level of R2 understanding across the site office. Although information highlighted in criterion 1.3.4 indicates possible inadequate understanding and implementation of the TQP processes, all personnel interviewed understood the R2. Criterion met.
1.3.4 The procedures that govern implementation of the TQP are understood by all involved and are being implemented as written.
Criterion Assessment: The SSO TQP Procedure (SSO CP 0603.03, *Technical Qualification Program*, Rev. 3) is the only governing procedure for the SSO TQP. The procedure is 25 pages in length – with an additional 10 pages of appendices – and spells out the processes for implementing the DOE requirements. The procedure covers all of the qualification requirements from both DOE O 426.1 and DOE-STD-1063-2011. However – based on the issues identified in criterion 1.1.2, 1.3.5, 1.6.3, and 1.7.3 – there is sufficient evidence to conclude that in some instances the SSO TQP Procedure is not being implemented as written (**ISS-NO-10.26.2012-476180**). Criterion not met.
1.3.5 A training and qualification records system is established for each employee in the TQP.
Criterion Assessment: The site office TQP procedure identifies a process for maintaining the qualification records for each TQP participant. The site office relies on the Corporate Human Resource Information System (CHRIS) to maintain each federal employee's training record. The site office TQP records are maintained an "occupied or locked" office inside the Sandia National Laboratories limited area. The actual qualification records for each individual participant are maintained in a locked cabinet in the aforementioned office. The record system identified in the SSO TQP Procedure conforms to FTCP-09-002, *Establishment of Record Keeping Requirements*. However, there are a number of instances where SSO participant TQP records are incomplete (**ISS-NO-10.26.2012-476172**). Examples include: • Incorrect methodology for cross-qualification period extension • Incomplete evidence for "Evaluation Method" codes • Missing and incorrect letters of qualification requirements This is a repeat issue from the 2010 SSO TQP Self-Assessment (SSO-SA-AMFO-

FY08-1-O7) and the 2012 SSO CDNS Review (ISS-NO-3.29.2012-429205). Criterion not met.
1.4 TQP-4, Qualification Tailored to Work Activities. The program identifies unique Department- and position-specific work activities and specifies the knowledge and skills necessary to accomplish that work.
Overall Objective Assessment: The site office process for identifying unique Department- and position-specific work activities and specifying the knowledge and skills necessary to accomplish that work is sound. However, there is a minor issue concerning the capture of applicable KSAs covering PSO requirements in a PSQS. This is highlighted in the review of the SSO S&S PSQS which reveals that no NNSA-level requirements are captured. Although this is the case, there is sufficient evidence to substantiate that the SSO S&S personnel have the technical knowledge of NNSA-level requirements. Objective met.
1.4.1 An analysis has been performed to identify the related knowledge, skill, and ability elements to accomplish the duties and responsibilities for each TQP functional area or position.
Criterion Assessment: The site office TQP procedure identifies a multi-step process for determining the appropriate competencies and KSAs for each TQP designated position. The process starts with the determination of positions designated to be in TQP, which also determines the FAQS for the position. This process is even "sub-divided" to recognize the various reasons for a position to be designated as "in TQP." The process continues with the immediate supervisor (assistant manager) conducting an assessment of the participant's current qualification status for the assigned position. From this, the supervisor generates a requirements letter for the participant, identifying the specific qualification standards to be used during the qualification process. Review of the PSQSs created over the last 4 years indicates a consistent logic in the development of KSAs for each TQP-designated position. Criterion met.
1.4.2 The program includes job-specific requirements related to the rules, regulations, codes, standards, and guides necessary to carry out the mission of the office.
Criterion Assessment: The development of the position specific qualification standard (PSQS) is the final step in the process for determining the appropriate competencies and KSAs for each TQP designated position; here the supervisor obtains a set number of "site office-level" qualification items from the SSO TQP Procedure and then develops, in concert with the participant and the TQP Coordinator, additional qualification items. A review of PSQS for many of the positions in the SSO TQP indicates that this process is sufficient for most functional areas. However, review of qualification standards for Safeguards and Security (S&S) positions indicates that the NNSA-level implementing documents are not identified in the PSQS. The SSO TQP process for development of the PSQS does not mention incorporation of NNSA-level requirements for any functional area (**ISS-NO-10.26.2012-476184**). Interviews conducted of SSO S&S personnel indicate that all are aware and implement the NNSA-level requirements. Criterion met.

1.4.3 The program supports the mission needs of the office.
Criterion Assessment: The mission of the site office is to: "Enable the national security mission, optimize governance, provide exceptional contract administration, and be a strategic partner" (from SSO CP 0801.01.01, *SSO Operations Plan*). The SSO TQP Procedure identifies the *SSO Operations Plan* (SSO CP 0801.01) as a required reading qualification requirement for all SSO TQP participants. {As an observation, the document number for the *SSO Operations Plan* (SSO CP 0801.01) as identified in the SSO TQP Procedure, Appendix G, does not match the document number for the *SSO Operations Plan* (SSO CP 0801.01.01) in the Sandia Site Office Business Management System (**ISS-NO-10.26.2012-476185**).} The SSO TQP does identify processes to ensure SSO personnel in TQP are appropriately qualified to accomplish the mission of the site office. Criterion met.
1.5 <u>TQP-5, Credit for Existing TQPs.</u> The program is structured to allow credit, where appropriate, for other TQP accomplishments.
Overall Objective Assessment: The site office TQP is structured to allow credit, where appropriate, for other qualification accomplishments. Objective met.
1.5.1 Credit (equivalency) is granted for previous training, education, experience, and completion of related qualification/accreditation programs, where applicable.
Criterion Assessment: The site office TQP procedure (Section 7.9) explains the process for use of equivalencies. Section 7.3 highlights the process to review a participant's previous training, education, experience, and completion of related qualification and or professional accreditation programs. Review of site office TQP records indicates one instance where SSO has granted an equivalency in accordance with its process. Criterion met.
1.5.2 Equivalency is granted based upon a review and verification of objective evidence, such as transcripts, course certificates, test scores, or on-the-job experience.
Criterion Assessment: The site office TQP procedure states (Section 7.9.2): "Equivalencies must be granted only with the utmost rigor and scrutiny to maintain the spirit and intent of the TQP." The one instance of equivalency determination follows the site office process, which aligns with the intent of this criterion. Criterion met.
1.5.3 Equivalencies are formally validated, approved, and documented.
Criterion Assessment: The site office TQP procedure requires the use of a specific from (Appendix A) which must be routed through the participant's supervisor (assistant manager) and approved by the SSO FTCP Agent. The one instance one use indicates the process was followed accordingly. Criterion met.
1.6 <u>TQP-6, Transportability</u>. Competency requirements identified as applying throughout

the Department are transferable.
Overall Objective Assessment: The site office TQP utilizes the DOE-approved GTB and FAQS; each SSO TQP participant is required to complete these standards as written (no edits). The site office QOs are trained on how to record competency "Evaluation Method" codes. Although the site office has identified an issue with recording NNSA-wide training evaluation methodology, the site office ensures competency requirements identified as applying throughout the Department are transferable. However, the site office has made little progress improving integration of the TQP into the personnel-related activities, such as position descriptions, detail announcements, and performance appraisals. Objective met.
1.6.1 The program includes all competencies that have been identified as applying throughout the Department.
Criterion Assessment: As identified in objective 1.2, the site office utilizes the DOE-approved GTB and FAQS; each SSO TQP participant is required to complete these standards as written (no edits). Review of SSO TQP qualification records shows evidence of inconsistent process application. Specifically, Criterion met.
1.6.2 Formal documentation of the completion of Department-wide competencies is maintained in a manner that allows for easy transferability.
Criterion Assessment: The site office QO training specifically discusses the administrative completion of all qualification cards, providing a QO Training Handout that highlights the proper use of competency "Evaluation Method" codes. As an observation, the site office has identified a concern during a routine records review regarding the completion of S&S FAQ cards and the use of "WE" without clear evidence in the qualification record (identified in criterion 1.3.5). The participants affected by this issue completed an NNSA-lead course with written exams and not all exams were collected at the time. The site office has a "Memorandum For Record" being routed for FTCP Agent signature that will address this issue. Review of other SSO TQP participant records indicates "transferability" of Department-wide competencies is maintained. Although transferability was an issue during the FY10 SSO TQP Self-Assessment (4.1.2), the SSO FTCP Agent is managing the process through consistent records reviews. Criterion met.
1.6.3 The TQP is integrated with personnel-related activities, such as position descriptions, vacancy announcements, recruiting, and performance appraisals.
Criterion Assessment: While SSO has done an excellent job of listing TQP as a requirement for vacancy announcements (VAs) – with 12 VAs reviewed, 6 being TQP positions and all 6 VAs having TQP as a requirement in the VA – detail announcements (DAs) need to have TQP requirements addressed. Of the 21 DAs reviewed, 16 were for TQP-designated positions and all of them inadequately addressed the position's TQP requirement (**ISS-NO-10.26.2012-476186**). Thirteen of the DAs did not mention TQP requirements and 3 more, that also did not mention TQP, where designated as "Unclassified Duties Only"; discussions with the personnel office indicate this

classification was to distinguish that the DA assignee was not to perform any TQP-related duties. This process is not explained in any site office or NNSA-level procedure or directive. TQP was generally listed in the Position Description (PD) for most of the SSO TQP-designated positions; however, some SSO TQP-designated positions do not have TQP indentified in the PD (**ISS-NO-10.26.2012-476175**). This issue is a repeat finding from the FY2008 TQP Self-Assessment (SSO-SA-AMFO-FY08-1-F5). SSO documentation of TQP requirements in the performance appraisal process (performance plans and reviews) needs improvement; of the 15 reviewed, 6 did not mention TQP (**ISS-NO-10.26.2012-476182**). Criterion not met.
1.7 <u>TQP-7, Measurable</u>. The program contains sufficient rigor to demonstrate compliance to the principles.
Overall Objective Assessment: Although: 1) SSO TQP-qualified personnel display a high level of technical competence and contractor operational awareness; 2) the SSO TQP procedure provides a clear process for feedback and improvement and participants have utilized the process (limited evidence); and, 3) the site office procedure addresses the requirement for a continuing training process, SSO TQP participants do not utilize the processes identified in the SSO TQP Procedure on a consistent basis. The continuing training process issue is a repeating issue, showing improvement over time but not showing closure. Objective met.
1.7.1 The technical competency of personnel who have completed the requirements of the TQP is adequate and appropriate.
Criterion Assessment: The technical competence of SSO personnel qualified through the site office TQP is displayed on a daily basis; many of the site office personnel are on NNSA Enterprise-wide and DOE-wide groups and committees to further improve government performance in their specific areas. Some SSO TQP-qualified individuals also participate in revision of DOE FAQS. Attendance of the site office weekly operations call each Tuesday morning reveals a technical staff that is engaged in Sandia Corporation (Sandia) management and operation of Sandia National Laboratories at an intimate and very technical level, in nuclear – and non-nuclear – safe operations of DOE-owned facilities. It is also apparent, through interactions of a technical nature, that SSO Safeguards and Security personnel are very competent and cognizant of Sandia security operations. Review of a select group of SSO-completed assessments (through ePegasus) supports this conclusion. Criterion met.
1.7.2 The program allows for continuous feedback and periodic evaluation to ensure that it meets the needs of the Department and the missions of the office.
Criterion Assessment: The site office TQP procedure includes a process for participants to provide feedback for continuing training events and qualification efforts (SSO CP 0603.03, Section 7.12). Review of feedback provided indicates that although the process is not utilized often by participants, the FTCP Agent does review the feedback and the feedback forms are maintained (both according to process).

The site office TQP procedure suggests the TQP self-assessment should be led by an SSO-qualified STSM. The FY2010 SSO TQP Self-Assessment utilized personnel from the NNSA Service Center; the current assessment is utilizing site office personnel that are not in TQP. These are examples of the site office attempting to obtain alternative perspectives on the SSO TQP implementation. Criterion met.
1.7.3 The TQP provides for continuing training.
Criterion Assessment: The site office TQP procedure specifically addresses a continuing training (CT) process (SSO CP 0603.03, Section 7.13). The process requires assistant managers to include the CT requirement in the TQP participant's IDP and performance appraisal. A review of IDPs and performance appraisal plans indicates that not all SSO TQP participants have the CT participation requirement identified accordingly. Review of completed Individual Records of Continuing Training and Continuing Training Attendance/Completion Rosters indicates that a high percentage of SSO TQP participants complete continuing training events. This assessment determined that many SSO TQP participants that did not submit the form to record CT completion still completed two or more CT activities during each calendar year. These issues are related to observations in the two previous self assessments. Assistant managers are not consistently including the TQP CT requirements in participant's IDP and performance appraisal plan as directed in the SSO TQP Procedure (**ISS-NO-10.26.2012-476183**). Criterion met.