



Department of Energy
Office of Science
Washington, DC 20585

MEMORANDUM FOR JOSEPH A. MCBREARTY
DEPUTY DIRECTOR FOR FIELD OPERATIONS

FROM: CAROL L. SOHN *Carol L. Sohn*
TECHNICAL QUALIFICATION PROGRAM MANAGER

SUBJECT: TECHNICAL QUALIFICATION PROGRAM SELF
ASSESSMENT AND CORRECTIVE ACTION PLAN

Under DOE 426.1, Change 1, Headquarters and Field elements must conduct a self-assessment of Technical Qualification Program (TQP) and Federal Technical Capability Program (FTCP) implementation within their organization at least every four years. These assessments must be conducted in accordance with the requirements of DOE Order (O) 226.1B, *Implementation of Department of Energy Oversight Policy*, dated 4-25-11, and the current objectives and criteria approved by the FTCP Chair and posted on the FTCP Web site at:
<http://www.hss.energy.gov/deprep/ftcp/directives/directives.asp>.

The self-assessment criteria on the webpage above were developed prior to Calendar Year 2000 and did not reflect the latest version of the Order. I have developed self-assessment criteria based upon the key elements of O 426.1 and the accreditation criteria for the FTCP. I have also notified the FTCP chair and the issue with the assessment criteria on the webpage has been rectified. A graded approach was utilized for this review due to the small number of individuals in the program.

Attached is the self-assessment and corrective action plan (page 7 of the Enclosure). The self-assessment identified no Level 1 or 2 issues. Eight opportunities for improvement (Level 3) were identified. I am requesting your approval of the corrective action plan.

Please contact me at (509) 375-2320 if you have any questions.

Enclosure: Office of Science Headquarters Technical Qualification Program Self-Assessment-
December 2012 (includes Corrective Action Plan)

- Corrective Action Plan Approved
- Corrective Action Plan Not Approved

Joseph A. McBrearty
Signature: Joseph A. McBrearty

1-10-13
Date:



cc:

S. Short, SC-3 w/enclosure

C. Sohn, SC-3 w/enclosure

File

OFFICE OF SCIENCE HEADQUARTERS TECHNICAL QUALIFICATION PROGRAM
SELF ASSESSMENT AND CORRECTIVE ACTION PLAN – JANUARY 2013
Self-assessment performed by C. L. Sohn (12/17/12 - 1/10/13)

Criteria	Criteria Met?	Comments
<p>1. TQP Objective: Structured Program The program clearly identifies and documents the process used to demonstrate employee technical competence.</p> <p>1.1 Senior management is committed to the TQP</p> <p>1.2 At a minimum, personnel providing management direction or oversight that could impact the safe operation of a defense nuclear facility have been identified at TQP participants.</p> <p>1.3 IDPs, training plans, technical qualification records, or other related documents are updated to reflect the activities required for each individual to satisfy competencies.</p> <p>1.4 A formal evaluation process (e.g. to select and train Qualifying Officials) 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.</p>	Yes	<p>1.1 The SC DDFO approved the TQP. He has made it apparent that the TQP is a priority with the prioritization of the ADDFO's time to complete the program and prioritization of his own time to complete his initial qualification. Order requirements have been cross-walked to the SC-3 TQP.</p> <p>1.2 Currently three individuals are in the SC-HQ TQP. SC-31 performs limited reviews of some B325 documentation; however final review/approval is completed by an STSM identified in the SC-3 TQP or by a PNSO TQP individual that is qualified.</p> <p>1.3 Two of the three individuals have completed their initial qualification and/or requalification. Only one individual is going through initial qualification at this time. Identification of training in IDPs is probably an area that could be improved—particularly identification of training and development activities in the IDPs. It is up to the individual to get the necessary training identified and scheduled for their initial qualification.</p> <p>1.4 The size of our office is very small. Training is required for a qualifying official (self-study). Two SC-3 individuals have been designated as qualifying officials in section 5) b) of the plan. One has completed QO training—need to find record for second SC-3 individual completing the training. The SC-3 TQP also allows other qualified STSMs or those designated by the CH or OR Integrated support centers.</p>
<p>2. TQP Objective: Plans and Procedures Plans and/or procedures are developed and implemented to govern administration of the program.</p> <p>2.1 Written procedures that adequately define the processes and requirements to implement the TQP are in place.</p> <p>2.2 Roles and responsibilities for implementing the TQP are clearly defined and understood by all involved.</p> <p>2.3 The procedures that govern implementation of the TQP are understood by all involved and are being implemented as written.</p> <p>2.4 A training and qualification records development and maintenance process is established for each employee in the TQP.</p>	Yes	<p>2.1 The SC-3 TQP was recently revised and approved in July 2012</p> <p>2.2 Roles and responsibilities are defined in the SC-3 TQP</p> <p>2.3 The Associate DDFO (ADDFO) is going through her initial qualification and roles and responsibilities, familiarization with the order, how to qualify and general expectations are not very clear to her.</p> <p>2.4 Individuals in the SC-3 TQP are responsible for maintaining their own T&Q records. With the modifications to the SAF-220, a comprehensive examination will need to be developed and administered to demonstrate initial qualification. The test will need to be controlled along with the proper responses.</p>
<p>3. TQP Objective: Competency Requirements Competency requirements are clearly defined and consistent with applicable DOE standards for similar industrial occupations.</p> <p>3.1 Competency requirements include clearly defined knowledge, skill, and ability elements.</p> <p>3.2 Recognized experts help establish competency requirements.</p>	Yes	<p>3.1 The current STSM FAQs defines the competency requirements.</p> <p>3.2 The FAQs process uses recognized experts to establish competency requirements. Concerns expressed by the ADDFO about the GTB e-course were provided to the NTC safety training manager.</p> <p>3.3 All three SC-3 participants have at least a BS degree from an accredited university.</p>

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<p>3.3 Related professional accreditation requirements are considered in the program as applicable.</p> <p>3.4 Competency requirements are identified in the areas listed below. (Note: this does not imply that three separate documents are required.)</p> <ul style="list-style-type: none"> • Basic Technical Knowledge. • Technical Discipline Competency. • Position Knowledge, Skills, and Abilities. 		<p>3.4 The SC-3 qualification process tests on all three of these areas—knowledge for the position, basic technical knowledge and technical discipline knowledge. The basic areas are documented on the qualification card and follow concepts in the STSM Guide as well as the position requirements.</p>
<p>4. TQP Objective: Qualification Tailored to Work Activities The program identifies unique Department and position-specific work activities and specifies the knowledge, skills, and abilities necessary to accomplish that work.</p> <p>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.</p> <p>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.</p>	Yes	<p>4.1 A staffing analysis is performed annually and submitted to the FTCP chair. In addition, there is a position description for each and the qualification process ensures the necessary KSAs are covered.</p> <p>4.2 Job-specific areas were covered during qualification which included emphasis on topics such as: DNFSB, readiness, accidents, on-going lessons learned, deposition velocity, etc.</p>
<p>5. TQP Objective: Credit for Existing Technical Qualification Programs</p> <p>5.1 Credit (equivalency) is granted for previous training, education, experience, and completion of related technical qualification programs, where applicable.</p> <p>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. Equivalencies are formally validated, approved, and documented.</p>	Yes	<p>5.1 Randy Spinney, ORO was utilized to help identify those areas that credit could be given relative to prior experiences, etc. These experiences are documented in the individual's qualification books.</p> <p>5.2 Documentation is included for each applicable competency.</p>
<p>6. TQP Objective: Transportability Competency requirements identified as applying throughout the Department are transferable.</p> <p>6.1 The program includes all competencies that have been identified as applying throughout the Department.</p> <p>6.2 Formal documentation of the completion of Department-wide competencies is maintained in a manner that allows for easy transferability.</p> <p>6.3 TQP is integrated with personnel-related activities, such as position descriptions, vacancy announcements, recruiting, and performance appraisals.</p>	Yes	<p>6. Documentation associated with qualification is retained in the individual's notebook providing a strong foundation for the qualification basis. Areas tested during oral examinations are included on the qualification card.</p> <p>6.1 Currently the SC-3 TQP only has three applicable qualification standards—STSM, GTB and SC-3 specific because of the size of the office and individuals who need to be included.</p> <p>6.2 Department wide FAQs are used. Supporting documentation is included in the qualification books. Completion of examinations and oral qualification results provide the basis for determination of fulfilling the competency requirements.</p> <p>6.3 The recent vacancy for the ADDFO was filled by a transfer. The current ADDFO PD does not include any qualification requirements.</p>

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<p>7. TQP Objective: Measurable The program contains sufficient rigor to demonstrate compliance to the requirements.</p> <p>7.1 The technical competency of personnel who have completed the requirements of the TQP is adequate and appropriate.</p> <p>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.</p> <p>7.3 The TQP provides for continuing training.</p>	Yes	<p>7.1 The DDFO recently qualified as an STSM and demonstrated what he learned in the TQP—more importantly, he knows when to ask.</p> <p>7.2 Feedback on the NELT and GTB are continuously provided to improve the quality of both courses supporting these qualification standards. Comments from ADDFO have been submitted to improve the program. Comments from NELT participants from each class are used by the steering committee to improve this course as well.</p> <p>7.3 Continuous training would include SCWE training (all three TQP participants took). A self-assessment of nuclear safety culture in conjunction with DOE's Implementation plan in response to DNFSB Recommendation 2011-1 is currently being performed.</p>
<p>8. FTCP Executive Commitment and Line Management Ownership. Line management is actively involved in all aspects of technical employee recruitment, retention, development, and deployment.</p> <p>8.1 Line managers are aware of the requirements and administrative flexibilities associated with recruiting, hiring, and retaining high-quality technical employees.</p> <p>8.2 Senior line management supports the continuous technical development and improvement of employees.</p> <p>8.3 Supporting Departmental organizations (personnel, training, contracts, finance, etc.) recognize line managers as customers and effectively support them in achieving and maintaining technical excellence.</p> <p>8.4 The applicable Level One or field level Functions, Responsibilities, and Authorities (FRA) Document clearly defines Federal line management responsibilities in the area of technical capability.</p> <p>8.5 Achieving and maintaining technical competence are reflected in the goals and objectives of the organization and the position descriptions and performance evaluation plans of senior managers.</p> <p>8.6 Technical capability programs and processes are institutionalized through Policy, Orders, Standards, and procedures.</p> <p>8.7 Management uses the results of previous FTCP assessments as a tool to improve the program.</p>	Yes	<p>8.1 The DDFO has been trained on this topic and has demonstrated this practice with the establishment of the SC-3 leadership development program.</p> <p>8.2 The DDFO has had several discussions with SC Site Office Managers (SOMs) on the importance of continuous development of our people. He has specifically initiated leadership development program. A portion of this program looks at intermediate individuals and provides leadership development opportunities and training. In addition, the FY13 DDFO goals specifically address retention, recruitment, employee development, etc.</p> <p>8.3 This sub-criteria has not always been met; however, improvements were made with the establishment of the leadership development program; improvements in communications (both ways) are still needed on the relationships with HC, SC-4, and two ISC HR Directors.</p> <p>8.4 SCMS defines the roles and responsibilities (see link http://scms.sc.doe.gov/OrbitSearch/ProgDesc/SCFRA/SCFRA_PD.cfm In addition, the FRA table provides additional information. Nuclear safety delegations to the Field are based upon technical competency (SC-3 memo from 2007).</p> <p>8.5 SOMs and SC-3 staff developed Annual Performance Plans to meet the specific DDFO objectives for FY 2013—the specific objectives addressed achieving and maintaining a recruitment program, attaining and improving core competencies.</p> <p>8.6 Procedure 5 in the HR area of SCMS specifically addresses TQPs; the TQP Manual in SCMS is out of date and does not reflect DOE O 426.1—message sent to author via SCMS (L. Media)</p> <p>8.7 This is the first FTCP self-assessment performed for SC-3.</p>

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Criteria	Criteria Met?	Comments
<p>9. FTCP Recruiting Technically Capable Personnel. An effective process is implemented to attract highly competent technical personnel to fill key positions in the Department.</p> <p>9.1 Excepted Service Authorities are considered as a tool to attract highly competent technical personnel to fill key safety positions.</p> <p>9.2 Intern programs (or Pathway Programs), such as the Departmental Internship Program, Recent Graduates Program, Presidential Management Fellows (PMF) are recognized as an effective method to attract technically competent personnel to the Department, consistent with Executive Order 13562, "Recruiting and Hiring Students and Recent Graduates" ..</p>	Yes	<p>9.1 Excepted service authority was used for hiring the senior nuclear safety advisor/chief of nuclear safety position.</p> <p>9.2 The SC-3 Leadership development program specifically integrates the Pathways program into attracting and developing new individuals into SC-3.</p>
<p>10. FTCP Staffing and Deployment. Technical staffing plans are developed, maintained, and used as the basis for recruiting, developing, and deploying personnel to ensure that critical safety positions are filled with technically competent people.</p> <p>10.1 Technical staffing plans are developed and maintained to identify critical safety positions and other key technical positions within the organization.</p> <p>10.2 Technical staffing plans form the basis for recruiting, developing, and deploying technical personnel in the organization.</p> <p>10.3 Employees in critical safety positions and other key technical positions possess the requisite education, training, experience, and background for their positions.</p> <p>10.4 The STSM Program is effectively implemented in the organization. The STSM Program within the Technical Qualification Program describes how STSM candidates are selected and compensatory measures used when responsible individuals lack STSM qualification.</p>	Yes	<p>10. An annual staffing plan (most recent dated 11/19/2012) has been developed and submitted to the FTCP chair.</p> <p>10.1 See staffing plan issued 11/19/2012</p> <p>10.2 See staffing plan issued 11/19/2012—note that the ADDFO vacancy had been identified in prior staffing analysis and quarterly report.</p> <p>10.3 This is noted in the job advertisement as well as completing qualification requirements in the performance appraisal process.</p> <p>10.4 The STSM program has been implemented through the SC-3 TQP. Compensatory measures have been utilized while initial qualification occurred for the current DDFO (reference memo).</p>
<p>11.0 FTCP Development of Technically Capable Personnel. Programs and processes are effectively implemented to encourage the continuous improvement of technical personnel.</p> <p>11.1 The TQP is effectively implemented. (Note: This program is evaluated using the TQP objectives and criteria.)</p> <p>11.2 Fellowship programs and other continuing education processes are effectively used to enhance the continuous improvement of technical personnel.</p> <p>11.3 Employees are encouraged to join professional organizations, write professional papers, and pursue professional certifications.</p>	Yes	<p>11.1 This self-assessment utilized both FTCP and TQP criteria.</p> <p>11.2 Details, special reviews, etc. have been provided to SC-32, SNSA, SOMs, Field Management coordinator by SC-3.</p> <p>11.3 This occurs primarily at the site offices with the development of staff members at the GS-13 and GS-14 levels rather than within SC-3.</p>

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<p>12.0 FTCP Retaining Technically Capable Personnel. DOE is an organization where technically competent personnel are respected and want to work.</p> <p>12.1 Technical personnel are assigned positions and responsibilities that allow them to effectively use their education, training, experience, and background in a fulfilling way.</p> <p>12.2 Career path planning and succession planning are effectively used to help retain technically capable personnel.</p> <p>12.3 Technical performance is used as a basis for performance reviews, promotions, recognitions, rewards, etc.</p> <p>12.4 An effective process is in place to preserve critical technical capabilities during Reduction in Force.</p>	Yes	<p>12.1 The DDFO is the supervisor for two individuals in the SC-3 TQP—both positions require use of training, experiences, etc. to perform their job responsibilities.</p> <p>12.2 The SC-3 leadership development program specifically discusses this.</p> <p>12.3 This has been demonstrated by the DDFO with his staff including SOMs.</p> <p>12.4 The SC-3 leadership program is trying to develop depth within the overall SC-3 organization (including site offices and ISCs). It has been recognized that a significant portion of the work force will be retiring over the next five years and critical skills sets are needed to retain corporate knowledge.</p>

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Reference Documentation

- 1) SC-3 Technical Qualification Program, July 2012, Revision 1 (approved July 17, 2012)
- 2) M. Weis Qualifying Official signature page
- 3) C. Sohn Qualifying Official signature page
- 4) *Assignment Memorandum*, Memo from Sohn to Short, February 21, 2012
- 5) *Assignment Memorandum*, Memo from Sohn to McBrearty, September 2012
- 6) *SC-3 Leadership Development Program*, July 2012, Rev.2
- 7) SCMS Procedure, [Procedure 5. Implementing Technical Qualification Program](#)
- 8) SC Technical Qualification Program Manual, *A Desktop Reference for Supervisors and Participant*, March 2007
- 9) *Annual Workforce Analysis and Staffing Plan Report for Calendar Year 2012*, Memo from McBrearty to Boardman, November 19, 2012
- 10) *Response to FTCP FY 13 Q1 Quarterly Report Data Call*, Email from Sohn to Yarrington, dated January 7, 2013
- 11) Qualification records for Sohn, McBrearty and Livengood
- 12) Guidance for Annual Performance Plans and Assessment Reviews, Memo from McBrearty to Distribution, August 7, 2012
- 13) ADDFO position description
- 14) Technical Qualification Program, Memo from Malosh to SOMs, April 2, 2007
- 15) Office of Science Delegations, <http://scms.sc.doe.gov/Reports/DelegationsList.cfm>
- 16) DOE O 426.1, Chg 1, *Federal Technical Capability*, September 2011
- 17) DOE O 450.2, *Integrated Safety Management*, Appendix A, April 25, 2011
- 18) *Safety Basis Approvals*, Memorandum from Orbach to Distribution, December 1, 2006
- 19) *SCMS Procedures for Quality Assurance and Oversight*

SC-3 TQP Self-Assessment Corrective Action Plan (2013)

- 1) **Issue statement:** SC-31 performs limited reviews of some B325 documentation; however final review/approval is completed by an STSM identified in the SC-3 TQP or by PNSO TQP individual that is qualified. (1.2)
Proposed Resolution: Ensure that a qualified STSM reviews all work associated with B-325 nuclear safety.
Responsible Person: Sohn **Due Date:** 03/31/2013
Issue Type: Level 3
- 2) **Issue Statement:** Identification of training in IDPs is probably an area that could be improved—particularly identification of training and development activities in the IDPs. (1.3)
Proposed Resolution: Each individual ensure that training is called out in their own IDP. Share this corrective action plan with individuals affected.
Responsible Person: McBrearty, Short and Sohn **Due Date:** On-going
Issue Type: Level 3
- 3) **Issue Statement:** Two SC-3 individuals have been designated as qualifying officials in section 5) b) of the plan. One has completed QO training—need to find record for second individual completing the training. (1.4)
Proposed Resolution: Have McBrearty complete Qualifying Official training and sign page.
Responsible Person: TQP Manager **Due Date:** 03/01/2013
Issue Type: Level 3
- 4) **Issue Statement:** The Associate DDFO (ADDFO) is going through her initial qualification and roles and responsibilities, familiarization with the order, how to qualify and general expectations are not very clear to her. (2.3)
Proposed Resolution: Provide general overview training to new individuals into TQP.
Responsible Person: TQP Manager **Due Date:** When new individuals are brought into SC-3 TQP
Issue Type: Level 3
- 5) **Issue Statement:** With the modifications to the SAF-220, a comprehensive examination will need to be developed and administered to demonstrate initial qualification. The test will need to be controlled along with the proper responses. (2.4)
Proposed Resolution: TQP Manager develop comprehensive examination that is equivalent to SAF-220 examinations.
Responsible Person: TQP Manager **Due Date:** 4/1/2013
Issue Type: Level 3
- 6) **Issue Statement:** The current ADDFO PD does not include any qualification requirements.
Proposed Resolution: TQP Manager will work with SC-48 and supervisor to either revise PD or ensure future vacancies have the

SC-3 TQP Self-Assessment Corrective Action Plan (2013)

qualification information included. Also will check DDFO PD and perform corresponding corrections. (6.3)

Responsible Manager: TQP Manager

Due Date: 4/1/2013

Issue Type: Level 3

- 7) **Issue Statement:** This sub-criteria (supporting Departmental organization recognize line organizations as customers...) has not always been met; however, improvements were made with the establishment of the leadership development program; improvements in communications (both ways) are still needed on the relationships with HC, SC-4, and two ISC HR Directors.
Proposed Resolution: Continue meetings with SC-4; build improved working relationships with two ISC HR directors including additional performance metrics, continue interactions with HC organization. (8.3)
Responsible Manager: McBrearty/Short
Due Date: On-going
Issue Type: Level 3
- 8) **Issue Statement:** Procedure 5 in the HR area of SCMS specifically addresses TQPs; the TQP Manual in SCMS is out of date and does not reflect DOE O 426.1. (8.6)
Proposed Resolution: Notification of update provided to owner; owner revises the SC TQP Manual
Responsible Manager: Linda Media
Due Date: Notification made 1/9/13; revision by 9/30/13
Issue Type: Level 3