

**Self Assessment Report
Implementation of the Idaho Operations Office
Technical Qualification Program (TQP)**

October 2011

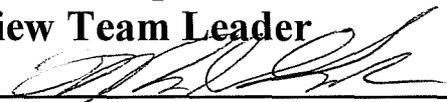


**Prepared by the
U. S. Department of Energy
Idaho Operations Office**



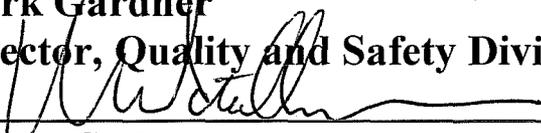
**Julie K Finup,
Review Team Leader**

11/23/2011
Date



**Mark Gardner
Director, Quality and Safety Division**

11/23/2011
Date



**Robert Stallman
DM-OS/DOE-ID FTCP Agent**

11/28/2011
Date

Executive Summary

The United States Department of Energy, Idaho Operations Office (DOE-ID) has successfully implemented a Technical Qualification Program (IDMS Office Document 02.OD.01 – ID Technical Qualification Program (TQP)) that produces highly qualified, technical individuals to execute oversight of site activities and support the Idaho National Laboratory (INL) site missions. DOE-ID hires competent people and, coupled with development and implementation of effective processes and procedures, maintains its work at a high level of quality. DOE-ID processes and procedures are contained in the DOE-ID Idaho Management System (IDMS). The ID-TQP incorporates department wide fundamental and functional areas, as well as office/facility specific qualification standards, allowing for transportability of competencies across the Complex.

This TQP self-assessment was performed by a review team with extensive assessment experience. The team lead and one other member have participated on past TQP Accreditation reviews, are currently qualified in diverse TQP functional areas and are current or past qualified Facility Representatives. The assessment approach consisted of interviewing Managers, Division Directors, Team Leads, Qualifying Officials, and a representative sample of TQP participants, reviewing applicable records, reports, and IDMS documents, and observing continuing training activities. This report documents the results of the self-assessment.

The DOE-ID TQP meets the TQP accreditation criteria. The necessary processes are in place to ensure that DOE-ID technical personnel are trained and qualified to perform their assigned tasks. Several Areas for Improvement were identified during this self-assessment.

Areas for Improvement

- (1) 02.OD.01 Attachment C is duplicated by 03.OD.03.
- (2) Several personnel assigned as Functional Area Technical Lead (FATL) did not understand their roles and responsibilities as currently described in the TQP. (Repeat)
 - Several personnel assigned as FATL are not complying with the requirements of 02.OD.01 for annually reviewing and updating their Office Facility Specific Qualification Standard (OFSQS) and exam banks.
 - Several of the current OFSQS are outdated and have been in this condition for several years with some in excess of 5 years since the last update.
- (3) The Safety System Oversight (SSO) Program needs to be updated.
 - The SSO program needs to designate the Functional Area Qualification Standard (FAQS) that meet the Functional Area (FA) requirement.
 - One SSO did not meet the minimum requirements to fulfill the SSO qualification program
- (4) The SSO FATL assignment on the List of Functional Area Technical Leads should be reassigned to the SSO Program document owner.
- (5) Quarterly Senior Technical Safety Manager (STSM) training is not being given on the required periodicity.

1. Introduction

The United States Department of Energy, Idaho Operations Office (DOE-ID) has successfully implemented a Technical Qualification Program (IDMS Office Document 02.OD.01 – ID Technical Qualification Program (TQP)) that produces highly qualified, technical individuals to execute oversight of site activities and support the Idaho National Laboratory (INL) site missions. DOE-ID hires competent people and, coupled with development and implementation of effective processes and procedures, maintains its work at a high level of quality. These processes and procedures are contained in the DOE-ID Idaho Management System (IDMS). The ID-TQP incorporates department wide fundamental and functional areas qualification standards, as well as office/facility specific qualification standards, allowing for transportability of competencies across the Complex

2. Scope and Methodology

This TQP self-assessment was performed by a review team with extensive assessment experience. The assessment approach consisted of interviewing Managers, Division Directors, Team Leads, Qualifying Officials, and a representative sample of TQP participants, reviewing applicable records, reports, and IDMS documents, and observing continuing training activities. The criteria for performing a TQP self-assessment provided in DOE O 426.1 were used as the methodology for completing this self-assessment. This report documents the results of the self-assessment.

3. Results

1. TQP-1, Demonstration of Competence

The program clearly identifies and documents the process used to demonstrate employee technical competence.

TQP-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.

Discussion

DOE-ID issued a Workforce Analysis and Staffing Plan for CY-2011 in accordance with Federal Technical Capability Panel (FTCP) guidelines. The staffing plan clearly defines the Technical Qualification Program (TQP) positions for defense nuclear facilities and the number of full time employees (FTEs) needed, including the number of Senior Technical Safety Managers (STSM). A review of 01 OD 01, “Functions Responsibilities, and Authorities”, was conducted; all of the requirements associated with the TQP are included in the Functions, Responsibilities, and Authorities Table, under Organizational Staffing and Competency. 01.OD.01 describes the process that Managers use to designate personnel into the TQP. A Pegasus action is issued to each designee, which contains the qualification standards they must complete and time limit to complete the TQP Process. A review of Pegasus identified that all personnel designated into the TQP in the last year have/had a Pegasus Action assigned. A sampling of training records and the electronic TQP database determined that personnel responsible for oversight of nuclear facilities were assigned a General Technical Base Qualification, a Functional Area Qualification and office/facility specific competencies. DOE-ID maintains a database that contains all personnel designated into the TQP, including the qualification standards they are required to complete or have completed.

(This Criteria is met)

TQP-1.2: Individual Development Plans (IDPs), training plans, technical qualification records, or other related documents are updated to reflect the activities required for each individual to satisfy competencies.

Discussion

All DOE-ID TQP personnel are required to enter their IDP in the DOE Employee Self-Service System (ESS) and have it reviewed by their supervisor on an annual basis. The IDP is an effective tool for planning and developing short- and long-range training needs for completion of any required/desired training courses needed for initial qualification, requalification, professional development, or continuing training. DOE-ID develops a training plan each year to help with focusing on which courses to bring to Idaho that would benefit the most employees. Although the annual training plan is not focused on the TQP alone; the tools used in the determination has a specific section for TQP competencies.

A review of TQP documentation was performed. A Web page has been developed to support the TQP that contains the Functional Area and Office/Facility Specific Qualification Standards (OFSQS), Qualification Verification Cards, Qualifying Officials (QO) List, and a list of Functional Area Technical Leads (FATL). This Webpage is updated as new or revised standards are approved. Review of the OFSQS available on the TQP web page revealed that several OFSQS have not been updated for several years. This is a recurring issue from the 2009 TQP Self Assessment. (Area for Improvement)

Issue/Area for Improvement

Several of the current OFSQS are outdated and have been in this condition for several years with some in excess of 5 years since the last update.

Recommendation

Management needs to engage the delinquent FATL personnel and determine an effective corrective action that will drive the FATL to comply with the annual review and update requirement. This is a recurring issue from the 2009 TQP Self Assessment.

(This Criteria is met)

TQP-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.

Discussion

Office Document 02.OD.01, ID Technical Qualification Program, Section 5 describes the evaluation process for TQP participants. It also contains appendices for each group of TQP participants: Subject Matter Technical Personnel (SMTP), Senior Technical Safety Managers (STSM), Facility Representatives (FR), and Safety System Oversight (SSO) personnel. Qualification Verification Cards for each TQP participant are formatted to require the QO to indicate which evaluation method was used for each competency. Training provided to the QO is in the form of a self study guide/exam. Interviews of QO personnel indicated that they understand their roles and responsibilities. It was discussed with several trainees that competency checkouts were being given at the expert level vs. the working or familiarity level indicated in the standard. Office Document 03.OD.03, "Facility Representative Program", was developed and approved in June 2011. 03.OD.03 incorporates the specific requirements of the TQP as articulated in 02.OD.01 and DOE-STD-1063-2011, "Facility Representatives". (Area for Improvement)

Issue/Area for Improvement

02.OD.01 Attachment C is duplicated by 03.OD.03.

Recommendation

Consider deleting 02.OD.01, Attachment C, "Facility Representative Qualification Program" as 03.OD.03 now captures the TQP requirements for FRs.

(This Criteria is met)

2. TQP-2, Competency Levels

Competency requirements are clearly defined and consistent with applicable industry standards for similar occupations.

TOP-2.1: *Competency requirements include clearly defined knowledge, skill, and ability elements.*

Discussion

02.OD.01, “*Idaho Operations Office (ID) Technical Qualification Program*,” defines the program requirements for the Facility Representative (FR), Senior Technical Safety Manager (STSM), Subject Matter Technical Personnel (SMTP), and Safety System Oversight (SSO) TQP positions. The DOE-ID TQP requires each participant to complete three Qualification Standards (The General Technical Base, a Functional Area, and an office/facility specific standard). Each Functional Area standard defines the skill level for each competency (familiarity, working, expert or demonstrate the skill). As stated in the previous assessment in 2009, several TQP participants have been in the program since 1995, and many of the Functional Area standards have been modified since that date. A sampling of the Office/Facility Specific Qualification Standards indicates that there are still outdated references and many have not been updated with the new core competencies developed in 2008. One exception is the Facility Representative Qualification Standards which recently issued a gap card which all FRs completed. (Area for Improvement)

Issue/Area for Improvement

See TQP-1.2

(This Criteria is met)

TOP-2.2: *Recognized experts help establish competency requirements.*

Discussion

A review of the DOE Wide Functional Area Qualification Standards and the current FTCP Standards Spreadsheet revealed that although they have not been recently updated, DOE-ID has Subject Matter Technical Personnel that participated in the development and review of many of the current GTB and Functional Area standards. 02.OD.01 provides the process used to develop competencies for the Office/Facility Specific Qualification Standards. DOE-ID has designated Functional Area Technical Leads (FATL) for all of the Office/Facility Specific Qualification Standards.

(This Criteria is met)

TOP-2.3: *Related professional certification requirements are considered in the Program as applicable.*

Discussion

02.OD.01, “*Idaho Operations Office (ID) Technical Qualification Program*,” defines the program requirements for the Facility Representative (FR), Senior Technical Safety Manager (STSM), Subject Matter Technical Personnel (SMTP), and Safety System Oversight (SSO) TQP positions. The program discusses the use of equivalencies, based on education and experience. Professional certifications recommended are identified in Qualification Standards, Vacancy Announcements and Position Descriptions and are reviewed as part of the recruitment and hiring process.

Recommendation

As allowed by IDMS procedures, management should take better advantage when an individual possesses professional certifications when tailoring office TQP in order to improve efficiency.

(This Criteria is met)

TQP-2.4: *Competency requirements are identified in the areas listed below.*

- *Basic Technical Knowledge – Competency in areas such as radiation protection, occupational safety, chemical safety, nuclear safety, and environmental regulations*
- *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*
- *Position Knowledge, Skills, and Abilities – Competencies specific to the position, facility, or program and the office*

Discussion

02.OD.01, “*Idaho Operations Office (ID) Technical Qualification Program*,” defines the program requirements for the Facility Representative (FR), Senior Technical Safety Manager (STSM), Subject Matter Technical Personnel (SMTP), and Safety System Oversight (SSO) TQP positions. The DOE-ID TQP requires each participant to complete a General Technical Base, a Functional Area, and an office facility specific standard. Each Functional Area standard defines the skill level for each competency. A Web page is maintained for the TQP that contains the implementing document, Qualifying Officials (QO) List, Qualification Standards and verification forms, TQP Forms, a listing of the Functional Area Technical Leads, and guidance for completing the process. The QO list has been recently updated to ensure an appropriate number of qualifying officials are available to the workforce.

(This Criteria is met)

3. TQP-3, Plans and Procedures

Plans and/or procedures are developed and implemented to govern administration of the program.

TQP-3.1: *Senior management is committed to the TQP.*

Discussion

DOE-ID Office Document 01.OD.01, “*Functions, Responsibilities, and Authorities*,” provides the institutional basis for the Office technical training and qualification process. 01.OD.01 requires Managers to ensure that personnel are technically trained, qualified, and competent to perform their duties. Interviews with various Deputy Managers (DM), Assistant Managers (AM), Division Directors (DD), Supervisors and Team Leads (TL) confirmed that the DOE-ID management team is knowledgeable of, and committed to the TQP. The appropriate levels of management are involved as required by the TQP program in the review and approval of the various OFSQS. The appropriate levels of management are also involved in the final qualification process for their personnel assigned positions under the TQP. DOE-ID has issued a Workforce Analysis and Staffing Plan for CY-2011 in accordance with FTCP guidelines. The DOE-ID Senior Management Team is involved in developing the annual Workforce Analysis and Staffing Plan. The staffing plan clearly defines the TQP positions for nuclear facilities and the number of FTEs needed.

(This Criteria is met)

TOP-3.2: Written procedures that adequately define the processes and requirements to implement the TQP are in place.

Discussion:

The DOE-ID TQP Program is documented in 02.OD.01, "ID Technical Qualification Program." Document 02.OD.01 provides the necessary administrative controls for the TQP, and complies with the requirements specified in DOE O 426.1 and DOE O 360.1C.

(This Criteria is met)

TOP-3.3: Roles and responsibilities for implementing the TQP are clearly defined and understood by all involved.

Discussion

The DOE-ID Office Document 02.OD.01, "ID Technical Qualification Program" governs the TQP Program. 02.OD.01 clearly identifies the roles and responsibilities for all personnel involved in the TQP and provides for the effective administrative control of the TQP. This procedure clearly defines the processes and requirements to implement the TQP at all levels throughout DOE-ID. Generally, personnel interviewed were knowledgeable of their TQP roles and responsibilities. The noted exception to this was some of the FATL personnel who demonstrated during interviews that they did not fully understand their roles and responsibilities as described in the TQP. The most notable deficiency was the lack of awareness for the annual requirement to review and revise their assigned OFSQS and examination banks. Several FATLs admitted that it had been several years since they had last reviewed their assigned qualification standards and examination banks. It was even stated that the annual review of the qualification standards and examination banks were the responsibility of the TQP Coordinator. A review of the OFSQS posted on the DOE-ID TQP site revealed that a majority of the qualification standards have not been revised for several years, with some in excess of 5 years since the last revision. The lack of understanding and performance regarding annual reviews was identified as a deficient condition in the 2009 TQP Self Assessment. The TQP Coordinator issued a required reading Pegasus Action to all FATLs in November 2010 that required the FATLs to read the sections of 02.OD.01 that stated their roles and responsibilities (the appropriate sections of 02.OD.01 were included as attachments to the Pegasus Action). The Pegasus Action also stated that closure of the item constituted acknowledgement of their roles and responsibilities. Based upon interviews with some of the FATLs and review of the qualification standards, this corrective action appears to have been ineffective. (Area for Improvement)

Review of the Qualifying Officials List (Rev 2) did not identify any issues. Review of the List of Functional Area Technical Leads (rev 2) noted that the Safety System Oversight (SSO) FATL assignment is not tied to the owner of the SSO Program document, 09.OD.07. (Area for Improvement)

Issue/Area for Improvement

Several personnel assigned as FATL are not complying with the requirements of 02.OD.01 for annually reviewing and updating their OFSQS and exam banks.

Several personnel assigned as FATL did not understand their roles and responsibilities as currently described in the TQP.

The SSO FATL assignment on the List of Functional Area Technical Leads should be reassigned to the SSO Program document owner.

Recommendation

Management needs to engage the delinquent FATL personnel and determine an effective corrective action that will drive the FATL to comply with the annual review and update requirement. This is a recurring issue from the 2009 TQP Self Assessment.

Reassign the FATL SSO to the owner of the SSO Program and update the List of FATLs.

(This Criteria is met)

TQP-3.4: The procedures that govern implementation of the TQP are understood by all involved and are being implemented as written.

Discussion

The DOE-ID document that governs the TQP Program is 02.OD.01, "ID Technical Qualification Program." 02.OD.01 provides for the effective administrative control of the TQP. This procedure clearly defines the processes and requirements to implement the TQP at all levels throughout DOE-ID. Generally, personnel interviewed were knowledgeable of their TQP roles and responsibilities. The noted exception to this was some of the FATL personnel. See the Discussion under TQP-3.3.

Issue/Area for Improvement

Same as those listed under TQP-3.3 Issue/Area for Improvement.

Recommendation

Same as those listed under TQP-3.3 Recommendation.

(This Criteria is met)

TQP-3.5: A training and qualification records system is established for each employee in the TQP.

Discussion

Training and Qualification records are maintained at DOE-ID by the Enterprise Training Services-Idaho Operations Office Liaison. The Enterprise Training Services-Idaho Operations Office Liaison person was very knowledgeable of the TQP database and Electronic Document Management System (EDMS) records system. A review of the TQP training records ascertained that all personnel currently designated to be in the TQP had an active training file. A random review of the individual TQP training records demonstrated that the records were well organized and maintained. A review of the electronic databases, TQP and EDMS demonstrated that the database is well maintained and an effective tool for tracking TQP qualification status.

(This Criteria is met)

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.

TQP-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.

Discussion

Personnel from DOE-ID have participated in the development of many of the Headquarters Functional Area Qualification Standards. The analysis for these Functional Area Qualification Standards is performed at a Working Group Level for the specific Standard. DOE-ID developed 02.PD.01, *Idaho Operations Office (ID) Process for Employee Competency*, which describes the process used to ensure employee competency to perform their job function. A suite of Work Instructions have been developed to implement the 02.PD.01. These include 02.WI.01.02, *Job Task Analysis* and Office Procedure 2.OP.01, *Organizational and Individual Needs Analysis*. Job task analyses (JTA) have been conducted. Position Descriptions are developed for each job function and these are also reviewed when developing the office/facility specific qualification standard. In late 2009, DOE-ID conducted a JTA for a Work Planning and Control Program Manager. Base on the results of that analysis, the selected individual completed the Maintenance Management TQP to supplement the FR TQP which was previously completed.

(This Criteria is met)

TOP-4.2: The TQP includes job-specific requirements related to the rules, regulations, codes, standards, and guides necessary to carry out the mission of the office.

Discussion

The DOE-ID TQP requires each participant to complete three Qualification Standards, (The General Technical Base, a Functional Area, and an office facility specific standard). Each Functional Area standard defines the skill level for each competency (familiarity, working, expert or demonstrate the skill). These functional area standards contain competencies of rules, regulations, codes, standards, and guides necessary to the position. The office/facility specific standards contain competencies to enhance those of the functional area that pertain to the mission needs of the office. Several of the Office/Facility Specific Qualification Standards continue to contain outdated references. Although not specifically required, numerous DOE-Orders and associated references have changed in the past few years without corresponding training/qualification modifications to support the changes.

Recommendation

Develop a means to document and update individual TQP when governing source references are revised

(This Criteria is met)

TOP-4.3: The TQP supports the mission needs of the office.

Discussion

As identified in the DOE-ID Strategic Plan, DOE-ID management values a highly qualified and motivated workforce as key to continued success. In January 2011, DOE-ID completed an Annual Workforce Analysis and Staffing Plan Report in accordance with FTCP guidelines. The staffing plan clearly defines the TQP positions for defense nuclear facilities and the number of full time employees (FTEs) needed, including the number of Senior Technical Safety Managers to support the mission needs of the office.

(This Criteria is met)

5. TQP-5, Credit for Existing Technical Qualification Programs.

The program is structured to allow credit, where applicable, for other TQP accomplishments.

TOP-5.1: Credit (equivalency) is granted for previous training, education, experience, and completion of related qualification/accreditation programs, where applicable.

Discussion

The use of equivalencies is described in DOE-ID Office document 02 OD 01. Qualification Verification Forms are developed to include proper approval of equivalencies and requires including documentation with the Qualification Verification Form. One recently qualified individual was questioned about equivalencies and why he wasn't granted any equivalencies for previous qualifications. The individual was offered equivalencies, however due to being assigned at a different facility for several years decided that he would perform all areas to refresh his knowledge about the systems. In this case the equivalencies were not granted due to a personal preference of the individual. The DOE-ID Office document requires experience be within the last 5 years which in this case applied. The process is being properly applied.

(This Criteria is met)

TOP-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.

Discussion

The use of equivalencies is described in DOE-ID Office document 02 OD 01. Qualification Verification Forms are developed to include proper approval of equivalencies and requires including documentation with the Qualification Verification Form. A review of TQP training records indicated that this process was being adequately implemented.

(This Criteria is met)

TOP-5.3: Equivalencies are formally validated, approved, and documented.

Discussion

The use of equivalencies is described in DOE-ID Office document 02 OD 01. Qualification Verification Forms are developed to include proper approval of equivalencies and requires including documentation with the Qualification Verification Form. A review of TQP training records indicated that this process was being adequately implemented.

(This Criteria is met)

6. TQP-6, Transportability

Competency requirements identified as applying throughout the Department are transferable.

TOP-6.1: The program includes all competencies that have been identified as applying throughout the Department.

Discussion

The use of the department wide General Technical Base and Functional Area qualification standards is described in DOE-ID Office Document 02.OD.01, DOE-ID Technical Qualification Program. DOE-ID personnel have participated in working groups or are champions for several of the department wide qualification standards.

(This Criteria is met)

TQP-6.2: Formal documentation of the completion of Department-wide competencies is maintained in a manner that allows for easy transferability.

Discussion

DOE-ID maintains both hardcopy and electronic copies of training records for all TQP participants. These files include the Qualification Verification Records for each Qualification Standard completed by each participant. A DOE-ID database has also been developed to track completion of required qualification standards by personnel assigned jobs that require TQP participation as well as those that are voluntarily participating.

(This Criteria is met)

TQP-6.3: The TQP is integrated with personnel-related activities, such as position descriptions, vacancy announcements, recruiting, and performance appraisals.

Discussion

DOE-ID has integrated the TQP into its personnel-related activities. A sample of position descriptions and vacancy announcements were reviewed as part of this assessment. It was noted that vacancy announcements and position descriptions were integrated with the TQP process. From interviews, it was determined that TQP activities were being included in the performance appraisal process.

(This Criteria is met)

7. TQP-7, Measurable

The program contains sufficient rigor to demonstrate compliance to the principles.

TQP-7.1: The technical competency of personnel who have completed the requirements of the TQP is adequate and appropriate.

Discussion

The rigor of the DOE-ID training and qualification process applies to the initial qualification for all DOE-ID TQP participants. The FR program at DOE-ID contains the most rigor, based on the FRs oversight requirements. FRs attend quarterly training sessions and requalify every three years. The STSM program contains the next level of rigor and quarterly continuing training is provided and tracked for these positions. The SSO program does not contain the same rigor as those for the STSM and FR positions. The SSO program requires Requalification every five years. The SME program contains the least level of rigor and does not have a requalification program. During interviews and record reviews the SSO area in OPAD were noted as having very little SSO specific continuing training other than being invited to the FR/SME Quarterly training. Additionally, a discrepancy was noted that one SSO did not have a functional area qualification prior to completing the SSO Office/Facility Specific Qualification Standard as required by 02.OD.01 and as implied by DOE O 426.1. The individual was not aware of the requirement to have completed the functional area qualification first. Reviews of 09.OD.07 – Safety System Oversight Program points to 02.OD.01 for SSO Qualification requirements, which then refers back to 09.OD.01 for a list of designated Functional Area Qualification Standards (FAQS). 09.OD.01 contains a list of supporting guidelines which lists all FAQS including General Technical Base. A formal statement should be in one of these documents as to which FAQS can be utilized as a base for the SSO program. The level of technical competence in personnel interviewed was commensurate with their job function.

Issue/Area for Improvement

One SSO did not meet the minimum requirements to fulfill the SSO qualification program.

The SSO program needs to designate the FAQs that meet the Functional Area requirement.

Recommendation

Review all SSOs and ensure that functional area technical discipline competencies are linked to individual job descriptions.

(This Criteria is met)

TOP-7.2: The program allows for continuous feedback and periodic evaluation to ensure that it meets the needs of the Department and the mission of the office.

Discussion

The FR Program Manager has implemented a feedback form as part of the quarterly FR/SME continuing training sessions. The IDP process also has a feedback element to evaluate the effectiveness of the instructor and the class content for any class/seminar/activity that has been attended by any DOE-ID personnel. A feedback mechanism within IDMS allows for direct feedback for improvements to the TQP procedure. A self assessment of the TQP program is scheduled periodically to gain additional feedback for improvements to the implementation of the process; however some issues from the last TQP program self assessment are reoccurring indicating that the corrective actions were ineffective.

(This Criteria is met)

TOP-7.3: The TQP provides for continuing training.

Discussion

A continuing training program has been implemented for the STSM and FR positions at DOE-ID. The FR Team Lead holds a one day quarterly training meeting with the FRs to cover topics that are applicable to all groups. All SSOs and SMEs are invited to attend this training. Several of the SMTPs have been asked to provide training during this meeting covering their areas of expertise. The STSM Training Coordinator provides a quarterly study guide and exam to all personnel that have completed the STSM Qualification Standard regardless of whether they hold a current STSM position; however the required periodicity hasn't been met consistently over the past two years. This same study guide and exam is provided to the FRs for continuing training. The EM Team Lead for Nuclear Safety/SSO has provided each of the EM Nuclear Safety Specialist/SSO with a monthly study assignment and exam covering the standards, regulations, and directives specific to a nuclear safety specialist. The NE SSOs only attend the FR/SME quarterly training and do not have a documented continuing training program. DOE-ID also uses the IDP system to document continuing training for its personnel.

Issue/Area for Improvement

Quarterly STSM training is not being given on the required periodicity.

Recommendation

Develop a continuing training program for NE SSOs outside the FR/SME quarterly training.

(This Criteria is met)

Attachment 1

**DOE-ID Technical Qualification Program
Assessment Plan**

Scope: Conduct a self assessment of DOE-ID's implementation of the Technical Qualifications Program (TQP).

Purpose: To ensure effective implementation of the Technical Qualification Program at the Idaho Operations Office and determine if improvements are needed.

Methodology: The criteria for the review are contained within the following documents:

DOE O 426.1, Federal Technical Capabilities, Approved 09-20-11.
DOE O 360.1C, Federal Employee Training, Approved 07-06-11

Resources: The assessment team will consist of personnel who have extensive assessment experience and have a working knowledge of the TQP Process:

Julie K. Finup, Nuclear safety/Technical Training Specialist and RWMC/AMWTP qualified Facility Representative (FR), *Review Team Lead* (Criteria TQP-6)
Roger Claycomb, Maintenance /Work Control Specialist and INTEC qualified FR (Criteria TQP - 2 & 4)
Brad Davis, DOE-ID FR Team Lead (Criteria TQP - 1 & 3)
Darren Moorman, ATR Complex Project Engineer and former FR (Criteria TQP - 5 & 7)

Schedule: The assessment will commence October 13, 2011 and complete by October, 26, 2011.

Signature on file	10/11/11
Submitted: Review Team Leader	Date

Signature on file	10/11/11
Reviewed by: Director, Quality and Safety Division	Date

Signature on file	10/12/11
Approved: Deputy Manager, Operations Support FTCP Agent for DOE-ID	Date

Attachment 2

List of Personnel Contacted and Documents Reviewed

Personnel Contacted

Deputy Managers
 Assistant Managers
 Directors
 Team Leads
 Functional Area Technical Leads
 Federal Technical Capabilities Panel Agent
 TQP Program Coordinator
 STSM Training Coordinator
 Facility Representative Work Leads
 Facility Representative Team Lead
 Facility Representatives
 SSO Program Sponsor
 SSO Program Coordinator
 Safety System Oversight Personnel
 Subject Matter Expert's
 Qualifying Officials
 Enterprise Training Services-Idaho Operations Office Liaison

Documents/ Material Reviewed

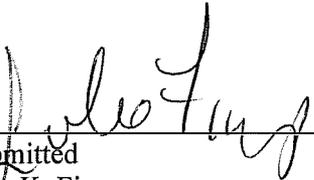
DOE O 426.1, Change 1, Federal Technical Capability, 9/20/11.
 DOE O 360.1C, Federal Employee Training, Approved 7/6/11
 IDMS Documents:

- 01.OD.01, Functions, Responsibilities, and Authorities, Rev 5
- 02.OD.01, ID Technical Qualification Program, Rev 4
- 03.OD.03, Facility Representative Program, Rev 0
- 09.OD.07, Safety System Oversight Program, Rev 5

 DOE-ID Organizational Chart (October 2011)
 Qualifying Officials (QO) List, Rev 2, April 2011.
 List of Functional Area Technical Leads (FATL), Rev 2 dated 4/26/11
 DOE-ID TQP Web Page (Current and Past Office/Facility Specific Qualification Cards)
 FTCP Web Page (FA and GTB Qualification Standards-Current)
 TQP electronic database
 DOE Standards Web Page (selection of FA and GTB Qualification Standards-Archived and Current)
 DOE-ID Annual Workforce Analysis and Staffing Report, OS-DM-11-001 dated 1/20/11
 DOE-ID FR Staffing Analysis, OS-OPAD-FRP-11-005 dated 3/22/11
 Various Training and Qualification Records for TQP Participants
 2009 TQP Self-Assessment Pegasus Report
 FR/SME Quarterly Training Tracker
 FR Continuing Training (STSM Training) Tracker
 EM NNS/SSO Work Assignments

Attachment 3

Review and Approvals



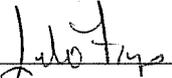
Submitted
Julie K. Finup
Technical Qualification Program Coordinator

11/23/2011
Date



Reviewer
Roger Claycomb

11/23/2011
Date

per e-mail  for Brad Davis

Reviewer
Brad Davis

11/23/2011
Date

per e-mail  for Daryn Moorman

Reviewer
Daryn Moorman

11/23/2011
Date

Finup, Julie K

From: Davis, Bradley J
Sent: Wednesday, November 23, 2011 12:21 PM
To: Finup, Julie K
Subject: Re: TQP Self Assessment

Looks good. Sign for me per email

From: Finup, Julie K
Sent: Wednesday, November 23, 2011 10:35 AM
To: Davis, Bradley J
Subject: TQP Self Assessment

Brad, I have the TQP report ready for your signature. Do you want me to sign it per e-mail concurrence.

<<TQP Self Assessment Report 2011 (2).doc>>

Thanks

Julie Finup-DOE-ID, Quality and Safety Division

Technical Training/Nuclear Safety Specialist

finupjk@id.doe.gov

(208)526-5197 - work

(208)569-7513 - cell

Finup, Julie K

From: Moorman, Daryn J
Sent: Wednesday, November 23, 2011 1:24 PM
To: Finup, Julie K
Subject: Re: TQP Self Assessment

Please sign for me. I have reviewed the report and have no changes.

Thanks
Daryn

From: Finup, Julie K
Sent: Wednesday, November 23, 2011 12:33 PM
To: Moorman, Daryn J
Subject: FW: TQP Self Assessment

Daryn,

I have the TQP report ready for your signature. Do you want me to sign it per e-mail concurrence.

<<TQP Self Assessment Report 2011 (2).doc>>

Thanks

Julie Finup-DOE-ID, Quality and Safety Division

Technical Training/Nuclear Safety Specialist

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