

Approved: 1-17-2017

SUBJECT: FEDERAL TECHNICAL CAPABILITY PROGRAM

1. PURPOSE.

To define requirements and responsibilities for meeting the Department of Energy (DOE) commitment to recruiting, deploying, developing, and retaining a technically competent workforce that will accomplish DOE missions in a safe and efficient manner through the Federal Technical Capability Program (FTCP). The Department will strive to recruit and hire technically capable people; continuously develop the technical expertise of its existing workforce; and, within the limitations of executive policy and Federal law, retain critical technical capabilities within the Department at all times. The FTCP principles are as follows:

- a. As described in the Department's Integrated Safety Management Guiding Principles, Federal personnel possess the experience, knowledge, skills, and abilities that are necessary to discharge their safety responsibilities;
- b. Line managers are accountable and have the responsibility, authority, and flexibility to achieve and maintain organizational technical excellence;
- c. Supporting organizations (personnel, training, contracts, finance, etc.) recognize line managers as customers and effectively support them in achieving and maintaining technical capabilities; and
- d. An integrated corporate approach is required to assure that necessary technical capabilities and resources are available to meet the overall needs of the Department's defense nuclear facility missions.

2. CANCELLATION. DOE O 426.1, Chg. 1, *Federal Technical Capability*, dated 9-20-11.

3. APPLICABILITY.

- a. Departmental Applicability. This Order applies to any DOE, including National Nuclear Security Administration (NNSA), organization that performs functions related to the safe operation of defense nuclear facilities. Other organizations within the Department may also apply elements of the program on an optional basis.

Technical Qualification Program (TQP) specifically applies to DOE technical employees whose duties and responsibilities require them to provide assistance, guidance, direction, or oversight that could affect the safe operation of a defense nuclear facility, including evaluation of contractor activities at those facilities. This includes personnel designated as Senior

Technical Safety Managers (STSM) and employees who are on extended detail or temporary assignment (i.e., 90 days or longer). This does not include Federal Project Directors or personnel assigned qualification requirements in the Project Management Career Development Program (PMCDP).

The Administrator of NNSA must assure that NNSA employees comply with their respective responsibilities under this Order. Nothing in this directive will be construed to interfere with the NNSA Administrator's authority under section 3212(d) of Public Law (P.L.) 106-65 to establish Administration-specific policies, unless disapproved by the Secretary.

- b. Contractors. This Order does not apply to contractors.
- c. Equivalencies for DOE O 426.1. In accordance with the responsibilities and authorities assigned by Executive Order 12344, codified at title 50, United States Code (U.S.C.), sections 2406 and 2511, and to ensure consistency throughout the joint Navy/DOE Naval Nuclear Propulsion Program, the Deputy Administrator for Naval Reactors (Director) will implement and oversee requirements and practices pertaining to this directive for activities under the Director's cognizance, as deemed appropriate.
- d. Exemptions for DOE O 426.1. This Order does not apply to DOE, including NNSA, organizations that do not perform functions related to the safe operation of defense nuclear facilities.

4. REQUIREMENTS.

DOE offices and organizations must ensure that their Federal employees are appropriately trained and technically capable of carrying out their responsibilities.

- a. Federal Technical Capability Program (FTCP) Development and Administration.
 - (1) Each office listed below must designate a senior manager to serve as the office representative (the Agent) on the FTCP Panel. These Agents must be qualified as STSMs.
 - Office of Science (SC)
 - Deputy Director for Field Operations
 - Integrated Support Center, Oak Ridge Office
 - Integrated Support Center, Chicago Office
 - Pacific Northwest Site Office
 - Office of Environment, Health, Safety and Security (EHSS)
 - Office of Enterprise Assessments (EA)

- National Nuclear Security Administration (NNSA)
 - Associate Administrator for Safety, Infrastructure and Operations
 - Chief of Defense Nuclear Security
 - Livermore Field Office
 - Los Alamos Field Office
 - Nevada Field Office
 - Sandia Field Office
 - NNSA Production Office
 - Savannah River Field Office

- Environmental Management (EM)
 - Office of Environmental Management
 - Chief of Nuclear Safety
 - Carlsbad Field Office
 - Consolidated Business Center
 - Idaho Operations Office
 - Oak Ridge Office of Environmental Management
 - Office of River Protection
 - Portsmouth/Paducah Project Office
 - Richland Operations Office
 - Savannah River Operations Office

Additionally, the Office of Human Capital Management, which receives advice and support from the Office of the Deputy Secretary and other supporting departmental organizations as appropriate, must designate a senior representative on the Panel and ensure that the TQP meets DOE requirements related to human capital management, working with others on the FTCP Panel for an effective and sustainable program.

- (2) Functional Area Qualification Standards (FAQS) must be reviewed and approved by the Panel and issued in accordance with the processes established by the Department's Technical Standards Program. At a minimum, FAQS must address:
 - (a) Duties and Responsibilities associated with the position;
 - (b) Preferred education and experience for the position;
 - (c) Technical performance competencies required to perform as a qualified individual in the subject matter of the FAQS;
 - (d) Knowledge and skills associated with the technical performance competencies;

- (e) Any mandatory performance requirements (i.e., performance demonstrations for tasks considered as critical for demonstrating proficiency in a technical performance competency;
 - (f) Applicable continuing education and/or proficiency requirements;
 - (g) Updates to each FAQs must include a gap analysis, or a summary of changes to the FAQs, to aid continuing training and/or requalification as applicable. The FAQs must be approved by the Panel Chair (See Appendix A, *Development and Revision of Technical Qualification Standards*). Sponsors who develop and revise an FAQs must use the FAQs template approved by FTCP Chair and posted on the FTCP Web site at:
<http://www.energy.gov/ehss/downloads/functional-area-qualification-standards-template>
 - (h) The National Training Center (NTC) must support the overall FAQs process by facilitating the development and/or update of job task analyses and FAQs evaluation guides, which are maintained by the NTC and modified with subject matter expert review. The NTC must also develop and maintain training to support the obtainment of FAQs performance competencies.
- (3) The FTCP Panel must develop and maintain an ongoing Operational Plan that clearly identifies major issues related to needed technical competencies and the Department's TQPs and activities necessary to resolve these issues in a timely manner.
- (4) The FTCP Panel must prepare periodic reports to the Deputy Secretary, Program Secretarial Officers (PSO), and other key Headquarters Offices having TQP positions, based in part on the summary workforce analysis and staffing plans described in this Order. The report will summarize actions taken to address the Department's hiring and deployment needs and identify future actions to preserve critical technical capabilities to ensure safe operations of defense nuclear facilities. The report must be submitted at least on a biennial basis.
- (5) The FTC Panel must assess the effectiveness of its functions at least every 4 years. These assessments must be conducted in accordance with the requirements of DOE 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.energy.gov/ehss/downloads/technical-qualification-program-and-ftcp-assessment-crads>

b. FTCP Implementation.

- (1) Senior managers must conduct annual workforce analyses of their organizations and develop staffing plans that identify critical technical capabilities and positions that ensure safe operations of defense nuclear facilities. Critical technical capability positions must participate in the TQP.

Workforce analyses identify the critical technical capabilities that must be maintained to ensure safe operation of defense nuclear facilities. A position determined to have critical technical capabilities must meet the following three criteria:

- (a) The position must be technical in nature, in a field covered by an FAQS and have responsibilities related to the safe operation of defense nuclear facilities or other facilities as designated by Site Management or PSO.
 - (b) The critical capabilities associated with the position must represent a specialized skill set that could not typically be replicated in 90 days using formal training.
 - (c) Loss of the technical capabilities resident within the position could jeopardize the Department's ability to meet safety or regulatory requirements.
- (2) Each Headquarters and Field Element with defense nuclear facilities responsibility must establish a TQP for its organization. Although the programs may be designed to meet the unique needs and responsibilities of each organization, the following principles must be used as the basis for all TQPs.
- (a) Demonstration of Competence. The program must clearly identify and document the process used to demonstrate employee technical competence (e.g., professional certifications, qualification cards, background, and experience).
 - (b) Plans and Procedures. Plans and procedures must be developed and implemented to govern the administration of the program.
 - (c) Qualification Tailored to Work Activities. Each DOE Headquarters, field or organizational element must clearly identify unique Department and position-specific work activities and determine, where appropriate, if technical competencies are required.

- (d) Credit for Existing Technical Qualification Programs. The program must be structured to allow credit, where appropriate, for other TQP accomplishments to date.
 - (e) Transportable. Each DOE Headquarters, field or organizational element determines whether office/site/facility-specific qualification standards technical competencies are needed for TQP participants. Competency requirements identified as having Department-wide applicability must be transferable. For ease of transportability of qualifications between DOE elements, competencies and knowledge, skills, and abilities (KSA) within the DOE General Technical Base Qualification Standard and the various DOE FAQss must be used without modification or additions.
 - (f) Measurable. The program, through quantifiable processes and metrics, must ensure sufficient rigor to demonstrate compliance with TQP.
- (3) Each organization must document its TQP requirements in a TQP plan. Organizations across the Department must use FAQs competencies and KSAs as written in developing their TQP plans. The plans must be approved by the head of the element and include processes and requirements for the following:
- (a) Identifying positions required to participate in the TQP;
 - (b) Identifying positions participating in the TQP responsible for oversight of safety management programs as identified in the respective facility safety documentation;
 - (c) Identifying employees that can serve as qualifying officials to verify and certify qualifications;
 - (d) Identifying, developing, approving, revising, and updating individual qualification requirements, as appropriate;
 - (e) Establishing and/or updating Individual Development Plans (IDP), training plans, or qualification-related records; for example, qualification plans, qualification cards, supporting documentation, and other records needed to support how the qualification was attained. The TQP plans must reference the TQP in IDPs and Performance Standards;
 - (f) Evaluating employees against FAQs, determining when to use oral review boards (protocol, questioning procedures, pass/not pass criteria, quorum requirements, reexamination requirements, etc.),

- and documenting the approval of equivalencies for required competencies. Equivalencies must be granted upon objective evidence issued by an independent source. Acceptable objective evidence sources could include approved performance evaluations, approved assessments, or approved technical products;
- (g) Determining final qualification requirements, such as comprehensive written examination, oral examination, site/facility walk-through, or some combination thereof;
 - (h) Addressing oral or written examination failures or other qualification failures, establishing reexamination requirements, and making work area or position reassignments;
 - (i) Establishing interim limitations or compensatory measures to support field office or program requirements for candidates who have not achieved full qualification, as applicable;
 - (j) Implementing continuing professional development and continuing training and/or requalification programs;
 - (k) Maintaining training and qualification records. Personnel records/official personnel files are maintained separately by each Headquarters, field and organizational element;
 - (l) Granting of equivalencies and criteria for extensions; and
 - (m) Involving the FTCP Agent in TQP vacancy announcements to assure that qualification requirements of TQP are incorporated into the selection criteria for covered positions.
- (4) Each organizational element must use FAQs and any applicable office/site/facility/position qualification standards to document technical performance requirements for the position as determined needed. These requirements must be established and implemented using the systematic approach to training methodology and include the following:
- (a) Basic Technical Knowledge about topics, such as radiation protection, occupational safety, chemical safety, nuclear safety, and environmental regulations. This area is covered through completion of the DOE General Technical Base Qualification Standard.
 - (b) Technical Discipline Competency (e.g., mechanical engineering or chemical engineering), which can be demonstrated by education, professional certification, or examination. In addition to meeting Office of Personnel Management (OPM) requirements for the

position, current expertise and DOE-specific competencies are demonstrated through completion of the respective FAQs.

- (c) Position Knowledge, Skills, and Abilities specific to the position, facility, program, and/or office, as determined by responsible Headquarters or Field Element Managers (FEM). Technical requirements not included in the Position Description or FAQs must be identified through a documented job task analysis.
- (5) Headquarters and FEMs must implement their TQP Plans.
- (a) They must designate the positions and/or individuals in their respective organizations required to participate in the TQP and the qualification requirements that apply. An FTCP Agent must be designated as responsible for program direction and performance. TQP employees must be assigned to TQP positions and begin their TQP requirements within 30 days. TQP employees must satisfy the qualification requirements assigned to them in accordance with a defined schedule established by line management. This schedule is normally achieved in 18 months. If not completed within defined schedule, compensatory measures must be put in place by the FTCP Agent.

Attainment of individual competencies in the FAQs must be evaluated and documented by a qualifying official and/or the immediate supervisor using one, or a combination, of the following methods:

- 1 Satisfactory completion of a written examination;
 - 2 Satisfactory completion of an oral evaluation;
 - 3 Satisfactory completion of an observed task or activity related to a competency;
 - 4 Documented evaluation of equivalencies based upon objective evidence (i.e. approved performance evaluations, approved assessments, or approved technical products) granted by an independent source; or
 - 5 Satisfactory completion of mandatory performance activities.
- (b) Equivalencies may be granted to employees who satisfy competencies indicated in FAQs. Equivalencies must be based upon objective evidence of previous education, training,

certification, or experience. Objective evidence includes any combination of transcripts, certifications, and, in some cases, a knowledge sampling demonstrated through a written and/or oral examination. Equivalencies must be used with the utmost rigor and scrutiny to maintain the spirit and intent of the TQP. The basis of equivalencies must be independent of the individual seeking evaluation and must include objective evidence.

- (c) FEMs or designees must qualify candidates as possessing the basic technical knowledge; technical discipline competency; and any site-determined, position-specific knowledge, skills, and abilities. Final qualification must be performed using one or a combination of the following methods:
 - 1 Satisfactory completion of a comprehensive written examination with a minimum passing score of 80 percent;
 - 2 Satisfactory completion of an oral examination administered by a qualified STSM or a qualification board of technically qualified personnel that includes at least one STSM;
 - 3 Satisfactory completion of a walk-through of a facility with a qualifying official for verifying a candidate's knowledge of and practical skills related to selected key elements; or
 - 4 Satisfactory evaluation of completed work products (i.e., assessments, reviews, etc.).
- (d) FEMs or designees must develop formal guidance, as part of TQP, for walk-through and oral examinations that includes standards for qualification, use of technical advisors by a board, questioning procedures or protocol, pass/fail criteria, board deliberation and voting authorization procedures, and documentation process.
- (e) TQP participants who complete applicable qualification requirements should continue their professional development and maintain proficiency through participation in continuing training, education, or other developmental activities.
- (f) The supervisor, in conjunction with the organizational FTCP Agent, determines and documents if each position and/or individual must participate in the TQP based on the duties and responsibilities of the position description. If the position requires participation in the TQP, the supervisor and FTCP Agent should identify the appropriate FAQs and individual competencies for

that position. Individual performance standards must be consistent with requirements set by the TQP.

- (g) Workforce deployment, including reorganizations, must recognize the performance requirements of covered positions and maintain the safety, health, security, and environmental management technical performance competency requirements of the workforce.
- (h) The Electronic Technical Qualification Program (e-TQP) must be the “system of record” for TQP “official” records. The e-TQP system has been identified by the NTC and concurred on by the Office of Information Management (IM-23), as a “System of Record” (Federal Register, DOE-27, General Training Records). Records for validation of TQP qualification include:

- 1 Completed qualification cards for all competencies of the General Technical Base Qualification Standard and FAQs (active version at time qualification process began); and
- 2 Completed qualification card for appropriate competencies related to assigned position (as determined by position description and supervisor requirements).

All records entered in the e-TQP system must be the responsibility of each site/program office and they must determine whether to continue to maintain hard copies of TQP records. The NTC must “maintain” the e-TQP system.

- (i) Organizations may accredit their TQPs by following the TQP Accreditation Process (see Appendix B). For organizations that have received accreditation, internal departmental oversight activities must credit that site program’s TQP for being properly implemented during the period of time that the site or program’s FTCP accreditation is current.
- (6) Key Qualification Areas.
- (a) The Manager/Assistant Secretary/NNSA Deputy or Associate Administrator with responsibility for Defense Nuclear Facilities must ensure that positions of authority (authority to make decisions impacting safety of defense nuclear facilities) are staffed by qualified STSMs.
 - (b) FEM and Deputy FEM. At least one of the individuals filling these positions should meet the preferred education and experience for

STSMs as described in the STSM FAQs. Further, at least one of the individuals must be a qualified STSM. Management must consider putting in place compensatory measures if the incumbent in an identified STSM position does not meet the preferred education or experience contained in the Background and Experience section of the STSM FAQs. In developing and implementing compensatory measures, management must ensure that positions of authority are compensated by fully qualified STSMs.

- (c) FEMs or designees must, at a minimum, qualify TQP candidates and document in their TQP plan.

Safety System Oversight (SSO) candidates (see Appendix C, Safety System Oversight Duties, Responsibilities, Knowledge, Skills, and Abilities for SSO candidates) must possess the basic technical knowledge; technical discipline competency; and position-specific knowledge, skills, and abilities required for their positions. Final qualification of Facility Representatives (FRs) is addressed in DOE-STD-1063-2011, *Facility Representatives*.

Qualification for STSMs must be performed through satisfactory completion of a comprehensive written examination with a minimum passing score of 80 percent, and

- 1 Satisfactory completion of an oral examination by a qualified STSM or a qualification board of technically qualified personnel that includes at least one STSM; or
- 2 Satisfactory completion of a walk-through of a facility with a qualifying official for verifying a candidate's knowledge of and practical skills related to selected key elements.

- (d) Maintenance of Qualifications. The qualification period for FRs is specifically addressed in DOE-STD-1063-2011, *Facility Representatives*. STSMs must qualify to the latest version of the STSM FAQs. After qualification, STSMs must be enrolled in a continuing training program (CTP) or provided with a requalification plan prior to the end of the requalification period by the FTCP Agent or if applicable, a STSM qualified supervisor. Requalification of STSMs is every 5 years unless enrolled in a CTP. Failure of the STSM to maintain satisfactory enrollment in a CTP or if the 5-year period has lapsed without requalification requires compensatory measures to be put in place for the STSM by

Headquarters or the FEM until CTP requirements are met or requirements of the requalification plan have been completed.

1 The CTP/requalification program should be incorporated into the organization's TQP plan/procedure to ensure TQP supervisors/participants are aware and understand the importance for maintaining their knowledge and proficiency. Compensatory measures must be implemented for individuals by their supervision in consultation with the FTCP Agent when CTP/requalification inadequacies are identified. Should individual CTP/requalification program inadequacies persist, the FTCP Agent should in consultation with the FEM, determine the individual's capability to remain in the TQP. The CTP/requalification program may contain one or more of the following elements:

- awareness and understanding of changes to applicable directives;
- use of FAQs GAP Qualification Cards;
- appropriate classroom and/or online course refresher training;
- cognizance of significant operating experience/lessons learned in functional areas; and
- training as required by Headquarters or FEM's tailored to the needs of site operations, functions and responsibilities.

(7) Self-Evaluation. Headquarters and Field Elements must conduct a self-evaluation of TQP and FTCP implementation within their organization at least every 4 years. These evaluations must be conducted in accordance with the requirements of DOE O 226.1B, *Implementation of Department of Energy Oversight Policy*, dated 04-25-11, and the current objectives and criteria approved by the FTCP Chair and posted on the FTCP Web site at:

<http://www.energy.gov/ehss/downloads/technical-qualification-program-and-ftcp-assessment-crads>

5. RESPONSIBILITIES.

a. Deputy Secretary.

- (2) Appoints the FTCP Panel Chair and provides leadership, direction, and resources to recruit, deploy, develop, and retain a workforce to accomplish DOE's missions in a safe and efficient manner;
- (3) Institutionalizes the FTCP through related DOE policy to establish the program's objective, guiding principles, and functions; and
- (4) Resolves key FTCP issues, which require the authority of the Deputy Secretary.

b. Administrator, NNSA; Program Secretarial Officers (PSO); and Managers of Field Elements (including Project Offices, Operation Offices, Site Offices, and Service Centers).

- (1) Establish/approve TQPs for defense nuclear facilities and designate the positions and/or individuals in their respective organizations required to participate in the TQP and the technical qualification standards that apply to them. Determine the need for site-specific qualification standards and cards.
- (2) Reviews respective FTCP reports and the results of staffing analyses to identify potential corrective actions that ensure that the Department attracts and maintains the resources necessary to perform the Department's missions.
- (3) Ensure that STSM assignments or compensatory measures are in place to maintain an unbroken chain in the reporting structure of qualified STSMs in positions of authority.
- (4) Designate the positions and/or individuals in their respective organizations that provide oversight of safety management programs identified in the respective facilities DSAs.
- (5) Implement formal training and qualification programs, based on the appropriate FAQs, for employees who provide management direction or oversight of contractor technical activities that could impact the safe operation of a defense nuclear facility.
- (6) Assign qualifying officials to sign TQP or site-specific qualification card competencies to verify that the TQP candidate possesses the required level of knowledge or skills. In addition to TQP participant supervisory

approval, FTCP Agents sign the STSM Qualification Cards to certify that the qualification process met the requirements of the organization's TQP.

- (7) Verify competency of TQP employees in technical positions, and approve qualification of such employees following demonstrations of competency.
- (8) Approve the workforce analysis and staffing plans for their TQP organizations.
- (9) Develop and implement staffing plan performance indicators to be monitored on a regular basis.
- (10) Resolve FTCP issues identified in their TQP organizations through internal and external assessments.
- (11) Appoint an FTCP Agent, who is qualified as an STSM and has ready access to the FEM, PSO, or Administrator, NNSA.
- (12) Submit a list, upon request, of the Headquarters- or site-approved designated STSM positions and incumbents in DOE.
- (13) Conduct periodic self-evaluations to evaluate the effectiveness of TQP within their organizations.
- (14) Facilitate recruitments to fill open STSM positions with technically competent individuals.

c. Chair of FTCP Panel.

- (1) Oversees issues affecting the FTCP;
- (2) Oversees development and implementation of FTCP Operational Plans;
- (3) Presides over the Panel;
- (4) Provides support to EHSS, develops and implements FTCP policy for the Department;
- (5) Oversees implementation of the Department's TQP;
- (6) Reviews and approves technical qualification standards for use throughout the Department;
- (7) Performs or oversees assessments of the effectiveness of the FTCP using internal and external experts;

- (8) Conducts periodic briefings for the Defense Nuclear Facilities Safety Board (DNFSB) and its staff regarding execution of the responsibilities of the FTCP and FTCP Panel;
 - (9) Provides recommendations to senior departmental officials regarding the improvement of DOE technical capability; and
 - (10) May appoint a Vice Chair.
- d. Vice Chair of the FTCP Panel. Serves as Chair of the FTCP Panel in the absence of the Chair.
- (1) Performs periodic reviews of the FTCP;
 - (2) Provides support to assist site/program offices in conducting self-evaluations of their TQP in accordance with this Order;
 - (3) Provides support to EHSS, develops and implements FTCP policy for the Department;
 - (4) Maintains a list, updated at least annually, of the Headquarters-or-site approved designated STSM positions and incumbents in DOE; and
 - (5) Oversees the process for evaluating the qualification of employees filling STSM positions.
- e. FTCP Agents.
- (1) Coordinate development of the annual workforce analysis and staffing plans for their TQP organizations.
 - (2) Oversee implementation of the TQP for their organizations, and ensure that the qualification process is relevant, and aligned with mission priorities.
 - (3) Assist FEMs/PSOs/Lead PSOs (LPSO) in establishing or maintaining formal STSM programs for their organizations.
 - (4) Concur with STSM vacancy announcements to ensure the inclusion of adequate selection criteria.
 - (5) Lead, participate in, or oversee FTCP assessments and TQP assessments within their organizations.

- (6) Solicit information and feedback from people in their organizations regarding the improvement of technical capability of the Department's workforce.
 - (7) Keep organizations informed of the progress/problems associated with execution of FTCP, and seek support from senior officials regarding successful implementation.
 - (8) Assist with the development of the FTCP and FTCP Panel.
 - (9) Review the STSM Qualification Card to certify that the qualification process met the requirements of the organization's TQP.
- f. Associate Under Secretary for Environment, Health, Safety and Security.
- (1) Serves as the Office of Primary Interest for this Order.
 - (2) Coordinates accreditation of TQPs (see Appendix B).
 - (3) Develops FTCP policies for the Department in conjunction with the FTCP Panel Chair.
 - (4) In coordination with FTCP Panel Chair, maintains the FTCP Website.
- g. Director, Office of Enterprise Assessments.
- (1) Ensures NTC support for the FTCP Panel and FAQs processes.
 - (2) Ensures NTC support of an established e-TQP that will provide the DOE use with a single electronic record system for managing the Technical Qualification Program.
- h. Chief, Human Capital Officer.
- (1) Ensures that the TQP meets DOE requirements related to human capital management, and works with others on the FTCP Panel for an effective and sustainable program.
- i. Supervisors with Responsibilities for TQP Personnel.
- (1) Maintain STSM qualification when assigned line responsibility and supervision of personnel who oversee safety of operations.
 - (2) Develop site-specific qualification standards and cards for TQP personnel, if the site or office determines site-specific qualification standards and cards are needed.
 - (3) Ensure TQP personnel qualification schedules are implemented.

- (4) Facilitate TQP qualification by ensuring sufficient time and training is provided to complete qualification tasks.
- (5) Ensure that TQP candidates are trained and qualified so that they are capable of performing assigned duties.
- (6) Ensure TQP responsibilities are included and maintained in Individual Performance Plans.
- (7) Ensure TQP qualifications are maintained current by training and assignments planned in IDPs.
- (8) Periodically evaluate program effectiveness and serve as a management advocate within the Headquarters or the Field Element to resolve programmatic issues.

6. DEFINITIONS.

- a. Critical Technical Capability. A position meeting the following three criteria:
 - (1) The position is technical in nature, in a field covered by an FAQS, with responsibilities related to the safe operation of defense nuclear facilities or other facilities as designated by Site Management or PSO.
 - (2) The critical capabilities associated with the position must represent a specialized skill set that could not typically be replicated in 90 days using formal training.
 - (3) Loss of the technical capabilities resident within the position could jeopardize the Department's ability to meet safety or regulatory requirements.
- b. Defense Nuclear Facilities. See 42 U.S.C. § 2286g. "Department of Energy Defense Nuclear Facility" Defined (<http://www.dnfsb.gov/sites/default/files/About/Attachments/Enabling%20Legislation%20-%202016.pdf>) for formal definition of Department of Energy defense nuclear facility.
- c. Field Element Manager. DOE Officials who are responsible for execution of oversight policy implementation (taken from DOE O 226.1B).
- d. Job Task Analysis. A systematic method used in obtaining a detailed listing of the tasks of a specific job. (taken from DOE O 426.2)
- e. Key Qualification Area. A functional area that has exceptional impact on nuclear safety at defense nuclear facilities (STSM, FR, and SSO).

- f. Continuing Training/Requalification Program. The process leading to a qualified candidate's successful completion of updated TQP competency statements or KSAs in a participant's assigned qualification standards since their previous qualification, including maintenance of proficiency where competency statements or KSAs have not changed.
7. REFERENCES. Find DOE directives online at www.directives.doe.gov.
- a. DOE O 226.1B, *Implementation of Department of Energy Oversight Policy*, dated 4-25-11.
- b. DOE O 360.1C, *Federal Employee Training*, dated 5-14-2015.
- c. DOE O 420.1C, Chg. 1, *Facility Safety*, dated 12-04-12.
- d. DOE-STD-1063-2011, *Facility Representatives*, dated March 2012
(http://www.energy.gov/sites/prod/files/2013/12/f6/DOE-STD-1063-2011_CN1.pdf)
8. CONTACT. Questions concerning this Order should be addressed to the Office of Environment, Health, Safety and Security, Office of Health and Safety at (301) 903-5926.

BY ORDER OF THE DEPUTY SECRETARY OF ENERGY:



ELIZABETH SHERWOOD RANDALL
Deputy Secretary

APPENDIX A DEVELOPMENT AND REVISION OF FUNCTIONAL AREA QUALIFICATION STANDARDS

A key element of the Technical Qualification Program (TQP) is a set of common Functional Area Qualification Standards (FAQS) and associated Job Task Analyses (JTA). These standards are developed for various functional areas of responsibility in the Department, including oversight of safety management programs identified as hazard controls in Documented Safety Analyses (DSA). For each functional area, the FAQS identify the performance competencies, supporting knowledge requirements, and mandatory performance activities for a typical qualified individual working in the area. The TQP will not have a specific standard for project management for individuals assigned project management responsibilities for defense nuclear facilities. Qualifications for these individuals are accomplished through a combination of the Project Manager Career Development Program and the General Technical Base Qualification Standard.

1. **GENERAL.** Each FAQS has a sponsor organization, which is usually a Headquarters, Service Center, or field/site office. Sponsor organizations are responsible for coordinating the development, update, and revision of their respective FAQS in accordance with the guidance contained in this Order.

The Panel Chair also maintains a list of recognized experts for the FAQS. Each Headquarters, Service Center, and field/site office participating in the TQP can submit the names of recognized experts for each FAQS. If an office does not have a recognized expert for a particular standard, it does not have to submit a name. The FAQS Sponsor evaluates the qualifications of the nominees and selects individuals who are recognized experts within their respective functional areas. The names and contact information for the recognized experts are provided to the sponsor organizations to help them develop, revise, and/or review FAQSs. Maintaining an up-to-date and valid list of recognized experts is essential to ensuring technically adequate and accurate FAQS.

Technical qualification standards are issued through the Department's Technical Standards Program (TSP), after approval by the Federal Technical Capability Program (FTCP) Chair in accordance with the requirements of that program.

2. **PROCESS FOR DEVELOPING OR REVISING AN FAQS.** The process for developing or revising an FAQS is shown in Figure A-1 and described in the following steps.
 - a. The sponsor organization coordinates a working group session with recognized subject matter and training expertise to develop or revise a JTA and FAQS, considering the typical duty areas, responsibilities, and tasks performed by a qualified TQP participant in the subject matter of the FAQS. The purpose of the session is to establish the following for a typical qualified individual working in the functional area:

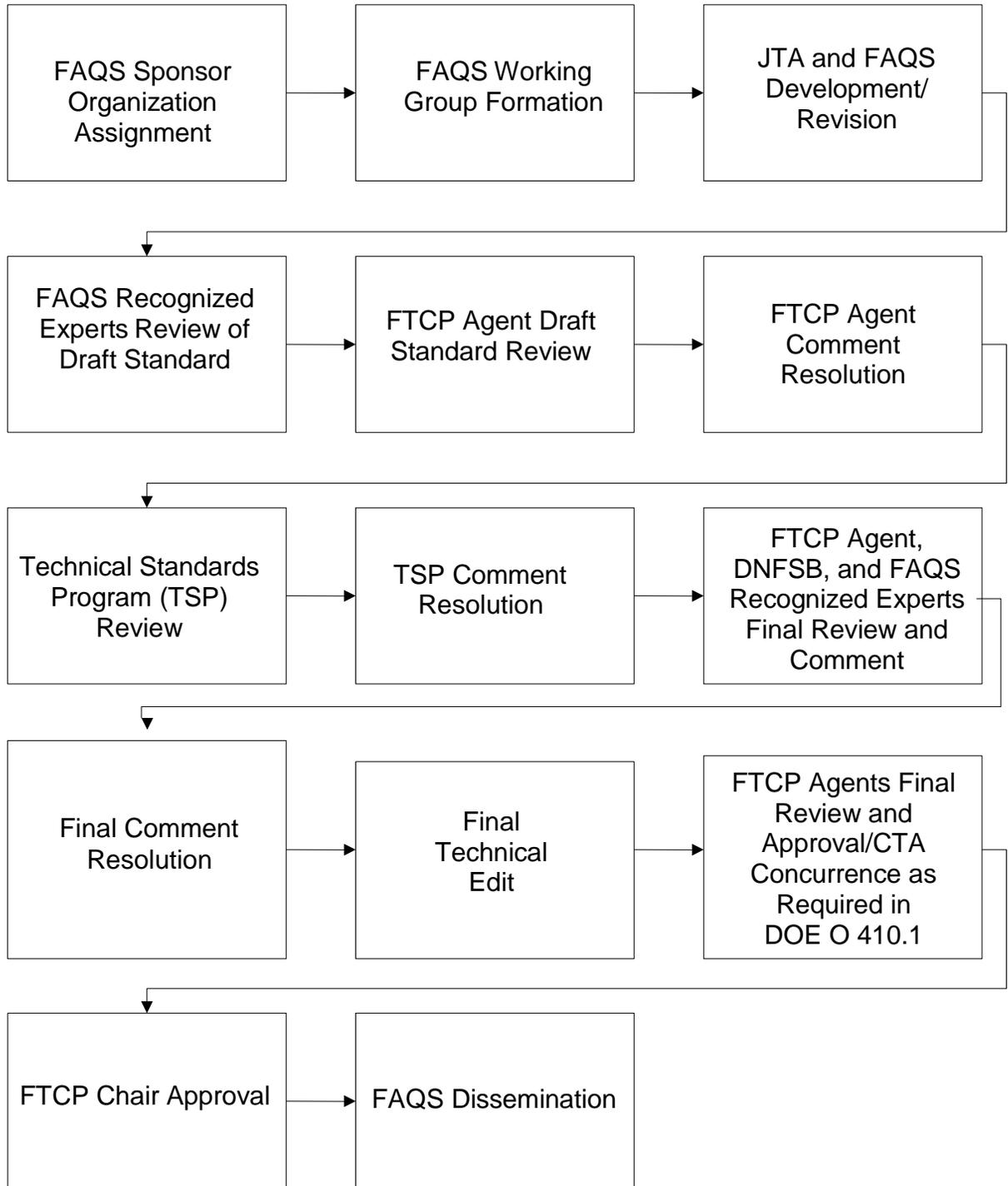


Figure A-1. Process for Developing FAQs

- (1) Performance competencies required to perform as a qualified individual in the subject matter of the FAQs;
- (2) Knowledge requirements needed to demonstrate the performance competencies;
- (3) Any mandatory performance activities needed to demonstrate adequate performance of tasks identified in the JTA (i.e., performance demonstrations for tasks considered as critical for demonstrating proficiency in a performance competency);
- (4) Appropriate continuing education or proficiency opportunities;
- (5) Applicable continuing education and/or proficiency requirements; and
- (6) Updates to FAQss must include a gap analysis, or a summary of changes, to aid in continuing training and/or requalification, as applicable.

Recognized experts from across the complex should participate in this session. The sponsor solicits volunteers from the list of recognized experts maintained by the Panel. The preferred makeup of the group is recognized experts from the field and from Headquarters with all the recognized experts from different organizations.

- b. Develop a draft JTA and FAQs using data from the recognized expert working group session. (Note: This step may be done as part of the working group session described above, if time allows.) The sponsor develops the draft standard in the format described in this Order and using the standard template approved by the Panel and posted on the FTCP Website. The sponsor does research as necessary to expand upon the information obtained in the working group session to ensure that performance competency statements, supporting knowledge requirements, and mandatory performance requirements are technically adequate and accurate.
- c. The sponsor sends the draft FAQs to the list of DOE-recognized experts for review and comment. The sponsor revises the standard as applicable based on the comments received, the JTA developed, and using the FTCP FAQs template as a guide.
- d. The sponsor sends the draft FAQs to the Panel Chair. After ensuring that the standard is consistent in format with all other FAQs, the Panel Chair transmits the draft FAQs to Panel members for review.
- e. The sponsor works with the Panel Chair, Panel members, and the working group to resolve comments.

- f. The sponsor transmits the draft FAQs to the Office of Environment, Health, Safety and Security (EHSS) for formal review and comment using the DOE Technical Standards RevCom tool.
- g. EHSS transmits the draft FAQs for Defense Nuclear Facilities Safety Board (DNFSB) staff review and comment.
- h. The sponsor works with the FTCP Panel Chair, Panel members, working group, and DNFSB staff to resolve comments as the Panel deems appropriate. The sponsor reviews all comments and catalogs them in a comment resolution document. The comment resolution document shows the organization that made the comment, the comment, and the sponsor's resolution of the comment. The draft FAQs is revised as applicable based upon the comments received.
- i. After completing all requirements of the TSP, the sponsor transmits the final draft FAQs and the comment resolution document to the Panel Chair. After ensuring that the standard is consistent in format with all other FAQs, the Panel Chair transmits the final draft FAQs and the final comment resolution document to Panel members for review and approval. Once the Panel approves the standard, the Panel Chair signs the standard and transmits it to EHSS for distribution throughout the Department. (See DOE TSP link.)
- j. When updating an FAQs, sponsors working with subject matter experts make a recommendation to the FTC Panel regarding the need for periodic requalification. Prior to submitting a revised FAQs for Department-wide review process, the sponsor, with support from subject matter experts, explains the basis for their recommendation during an FTCP Panel Face-to-Face or teleconference meeting. The FTCP Panel will then evaluate the recommendation's merits and render a final decision for that qualification standard. The incumbent then completes qualification activities for new competencies (competencies added since initial qualification) and those competencies where the self- assessment concluded the position's routine duties were not sufficient to maintain proficiency.

TECHNICAL QUALIFICATION STANDARD FORMAT. FAQs template (with standardized language) and approved by FTCP Chair is available through the FTCP Website at:

<http://www.energy.gov/ehss/downloads/functional-area-qualification-standards-template>

APPENDIX B ACCREDITATION OF DOE TECHNICAL QUALIFICATION PROGRAMS

1. OVERVIEW.

The accreditation of Technical Qualification Programs (TQP) enables both Headquarters and Field organizations in DOE to demonstrate that they have an effective program in place to ensure the technical competency of Department of Energy (DOE) technical employees whose duties and responsibilities require them to provide assistance, guidance, direction, oversight, or evaluation of contractor activities that could impact the safe operation of a defense nuclear facility. Accredited organizations are recognized for having programs and processes in place that adhere to established objectives and criteria for an effective TQP. Accreditation ensures the consistent application of TQP requirements across the Department, thereby facilitating the transportability of qualification when an individual moves from one organization to another.

2. PROCESS.

The accreditation process is applicable to those organizations within DOE that choose to seek accreditation of the TQP.

a. Accreditation Process Elements.

The TQP accreditation process consists of the activities described below. These activities are further described in this appendix and are depicted in Figure B-1.

- Development and implementation, by the organization requesting accreditation, of a TQP that meets the requirements stated in this Order.

A comprehensive self-evaluation of the TQP against the objectives and supporting criteria as described in a document entitled “TQP Accreditation Objectives and Criteria” and posted on the Federal Technical Capability Program (FTCP) Website by the requesting organization (<http://www.energy.gov/ehss/downloads/technical-qualification-program-accreditation-objectives-and-criteria>). The details and conclusions of that evaluation are documented in a self-evaluation report. The self-evaluation report and a declaration of readiness by the senior manager are transmitted to the TQP accreditation support office.
- Evaluation of the requesting organization’s TQP by an onsite accreditation review team. This team, consisting of specifically qualified individuals, will evaluate the TQP against the objectives and criteria. The Team Leader is selected by the FTC Panel Chair, in consultation with the Office of Environment, Health, Safety and Security (EHSS). The onsite evaluation team pays particular attention to ensure that the

program is being effectively implemented throughout the organization. The results of the onsite review are documented in a TQP Accreditation Review Team Report.

- A recommendation to the Deputy Secretary for accreditation of the program by the independent TQP Accreditation Board. This Board, consisting of senior managers from DOE and usually an expert from outside of DOE, makes this recommendation based on a formal meeting with senior representatives from the requesting site and the TQP accreditation review team leader. The recommendation is based upon information contained in the accreditation review report, and feedback and input from senior management from the requesting organization.
- A determination by the Deputy Secretary regarding accreditation.
- Continuous implementation and maintenance of TQP accreditation for approximately 4 years. The organization is expected to continue to maintain and implement the TQP in a manner that meets the objectives and criteria and that ensures a robust program. Renewal of accreditation is accomplished by the same process as initial accreditation, and involves both a self-evaluation report submitted by the organization, as well as a review by an onsite accreditation review team. The TQP Accreditation Board will review the results of these efforts and make a recommendation to the Deputy Secretary to renew or defer accreditation.

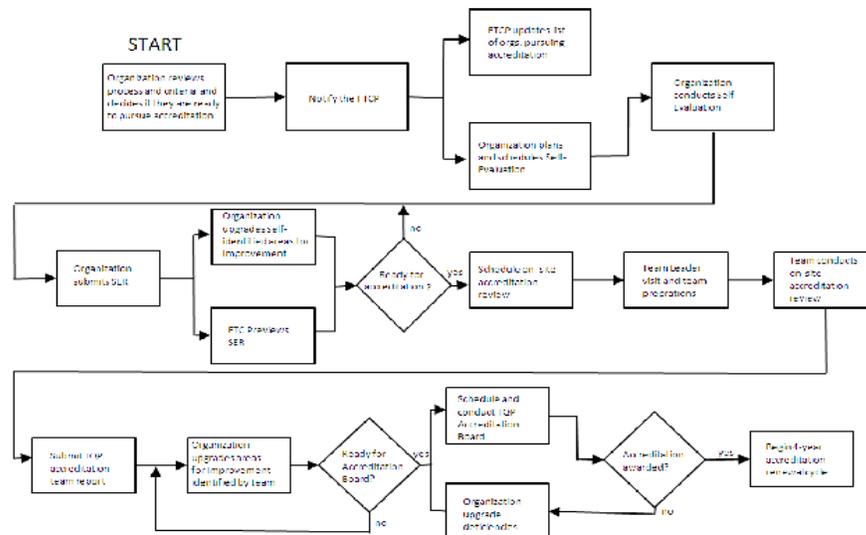


Figure B-1. TQP Accreditation Process

b. Accreditation Support.

The Office of Health and Safety, within EHSS, serves as the TQP accreditation support office and, in that role, reports to the FTC Panel Chair. The TQP accreditation support office is responsible for facilitating the TQP accreditation process. This includes the following:

- Developing and maintaining program documents;
- Supporting the National Training Center in providing training on the TQP accreditation process;
- Providing assistance as requested to support the TQP accreditation process;
- Establishing accreditation review teams;
- Supporting the TQP Accreditation Board;
- Providing accreditation status reports to the Panel Chair;
- Supporting the process to maintain and revalidate accredited TQPs; and
- Coordinating the necessary resources to support the accreditation process.

c. Self-evaluation and Self-evaluation Reports.

In preparation for initial accreditation or accreditation renewal, a TQP accreditation self-evaluation report is prepared for the TQP under review. The self-evaluation report serves as the “application” for accreditation. Before the accreditation review team visits the site, the requesting organization conducts a thorough self-evaluation of its program against the objectives and supporting criteria as described in “TQP Accreditation Objectives and Criteria” posted on FTCP Website:

(<http://www.energy.gov/ehss/downloads/technical-qualification-program-accreditation-objectives-and-criteria>) and documents the results in a self-evaluation report; and corrects, or begins to correct, any identified problems. The purpose of this self-evaluation is for the requesting organization to ensure that their program satisfies the criteria of an effective TQP. Organizations are encouraged to use an outside expert or peer from another organization to assist in this assessment and provide an objective, outside perspective. The TQP accreditation self-evaluation should meet the following key criteria:

- Senior managers oversee the self-evaluation process to ensure identification and description of TQP strengths and correction of weakness.
- Line managers and their staffs actively participate in the self-evaluation process.
- Self-evaluations of the TQP recognize both the strengths of the program and problems that need to be corrected.
- Alternative perspectives from other organizations or individuals are actively solicited.
- Activities or accomplishments (e.g., related International Organization for Standardization certifications, other professional certifications, participation in university-sponsored programs) are identified and encouraged.
- Significant problems in the TQP are documented and investigated for root or contributing causes, and actions are taken to correct and prevent recurrence. Follow-up reviews are used to verify the effectiveness of corrective actions.

The TQP accreditation self-evaluation report is a comprehensive, stand-alone document that describes the requesting organization's TQP. For programs being reviewed for accreditation renewal, the TQP accreditation self-evaluation report reflects strengths and areas for improvement identified throughout the 4-year renewal period. The senior manager responsible for the organization requesting accreditation approves the report and forwards it to the DOE TQP accreditation support office approximately 2 months before the accreditation team visit. The forwarding memo includes a declaration by the senior manager that the organization is implementing the TQP in accordance with the requirements of this Order and is ready for accreditation.

EHSS reviews the TQP accreditation self-evaluation report and ensures that the report was prepared in accordance with the guidance in "TQP Accreditation Objectives and Criteria" posted on FTCP Website (<http://www.energy.gov/ehss/downloads/technical-qualification-program-accreditation-objectives-and-criteria>), and meets the criteria for TQP accreditation self-evaluation reports. The TQP accreditation support office coordinates with the senior manager responsible for the organization requesting accreditation to resolve any discrepancies or ambiguities within the TQP accreditation self-evaluation report prior to the TQP accreditation review team evaluation.

d. Accreditation Review Team and Team Activities.

The purpose of the TQP accreditation review team evaluation is to conduct a thorough and independent evaluation to review the status of TQP implementation and assess the actions taken to address areas for improvement identified in the self-evaluation report. For initial TQP accreditation, an accreditation team evaluation will be scheduled when the requesting organization submits a comprehensive TQP accreditation self-evaluation report. Accreditation review team evaluations typically are scheduled approximately 3 months before the TQP Accreditation Board review date.

The accreditation review team may consist of TQP accreditation support office staff, FTCP Agents, outside experts, and peer reviewers from other sites. The team members have collective expertise in facility operations, technical qualification programs, and facility management. They also meet specific, pre-established qualification requirements and receive training on the TQP accreditation process. The accreditation review team composition should represent a cross-section of the National Nuclear Security Administration (NNSA) and DOE elements (e.g., Program Secretarial Officers (PSO)).

The TQP accreditation support office nominates the accreditation review team leader for a particular review, and the Panel Chair approves the team leader. The TQP accreditation support office selects the most qualified individual to do the job. In making the selection, the following criteria should be considered:

- The individual is a senior level (GS-15 or above) manager, qualified as a Senior Technical Safety Manager (STSM), who is very knowledgeable of the development and implementation of TQPs.
- The individual has experience leading evaluation teams.
- The individual, by virtue of reputation, background, and experience, will be respected by the organization being assessed. FTCP Agents are encouraged to participate as team leaders.

The accreditation review team leader has the primary responsibility for selecting the team members. The importance of this task cannot be overemphasized. No other task has such a direct impact on the overall quality of the accreditation review. Typically, a TQP accreditation review team will have a team leader and four to six team members, one of which will be selected by the Chief of Defense Nuclear Safety (CDNS) or the Chief of Nuclear Safety (CNS).

Assessment team members should have technical experience relevant to the assignment and knowledge of TQPs. They should also have some experience conducting program assessments. This experience provides the background for team members to work independently at an unfamiliar location, gather information quickly, and make objective recommendations. Team members

should have qualifications that will be respected by the organization requesting the assistance (e.g., reputation, relevant background, and type and length of experience).

Accreditation review team evaluations typically last about 1 week. During the evaluation, team members observe TQP activities, interview staff and management personnel, review qualification requirements and qualifications of personnel, and examine TQP materials. The TQP is evaluated against all of the objectives and criteria using specifically developed lines of inquiry.

Accreditation review team results are discussed with staff and management personnel at the site on a daily basis during the review.

Following the onsite evaluation, the TQP accreditation review team prepares an exit report to describe the results of the review. This report forms the basis for an exit meeting with senior management of the organization being reviewed and identifies applicable strengths or areas for improvement. Following the exit meeting, the requesting organization submits written responses that describe the actions taken or planned for identified areas for improvement. The accreditation review team leader prepares a detailed TQP Accreditation Review Team Report that describes the results of the accreditation review team evaluation, but does not provide a recommendation regarding accreditation. This report is submitted to the TQP Accreditation Board for review and deliberation.

The format of the TQP Accreditation Review Team Report is as follows.

- Cover Page. Include the title of the report, the name of the office assessed, and the date of the report.
- Executive Summary. One page that provides a short overview of the team composition, dates of the assessment, and methodology. The Executive Summary should briefly describe assessment results, including strengths and weaknesses.
- Introduction. Provide relevant background information and describe the purpose and format of the report.
- Scope and Methodology. Describe the makeup of the team in general terms (referring to the attachment of the report for more detail), describe the scope of the assessment referencing the use of the objectives and criteria, and briefly describe the methodology applied.
- Results. Address in detail the overall program and each of the applicable objectives, including how the objective is met and identifies any strengths, areas for improvement, or other noteworthy information. Definitions of these three items are included in “TQP Accreditation

Objectives and Criteria” posted on FTCP Website
(<http://www.energy.gov/ehss/downloads/technical-qualification-program-accreditation-objectives-and-criteria>).

- Addressing each criterion for the objectives is not necessary; however, any criterion that is not achieved should be identified as a deficiency for that objective.
 - Attachments. Include the following.
 - Objectives and criteria used for the evaluation.
 - List of team leader and team members, including a brief description of their backgrounds and experience.
 - List of people contacted, activities observed, and documents reviewed.
 - Any other information the team leader deems pertinent.
- e. Accreditation Board.

Five members of the TQP Accreditation Board meet as a voting board to consider the TQP for accreditation or accreditation renewal. The Board typically meets approximately 2 to 3 months following the accreditation review team evaluation. The composition of the voting board includes one senior executive from NNSA, the Office of Environmental Management, Office of Science, or other PSO; one senior executive from EHSS; one manager of a field or site office; the CDNS or CNS; and one outside expert. Board members should not be directly associated with the TQP that is being considered for accreditation. Board members should be knowledgeable about the TQP, receive training on the accreditation process, and be approved by their PSO. For each Board conducted, the Chair will be the senior executive from EHSS.

The TQP Accreditation Board meeting is attended by the responsible managers from the organization requesting accreditation, including the senior manager responsible for the TQP. Attendance is at the discretion of the organization requesting accreditation; however, it is essential that a senior manager who can make commitments to the Accreditation Board be present. The accreditation review team leader is also present at the meeting. Based on the information contained in the accreditation review team report, the Board members assess the status of the TQP and interact with Field Element Managers (FEM) and the accreditation review team leader. The TQP Accreditation Board decision is based on a comparison of the TQP with the accreditation objectives and supporting criteria, status of corrective actions for any identified problems, and interactions with organizational managers during the meeting. Based on a majority vote, the TQP Accreditation Board will make one of the following recommendations to the Deputy Secretary of Energy.

- Award initial accreditation (or defer initial accreditation pending completion of corrective actions and additional Board review).
- Renew accreditation.
- Place accredited TQPs on probation. (A TQP placed on probation retains accredited status.)
- Withdraw accreditation.
- The Deputy Secretary of Energy will make the final decision regarding TQP Accreditation.

f. Maintaining Accreditation.

Organizations maintain TQP accreditation by continuing to implement and improve their programs in accordance with the objectives and criteria. By various means (for example, review of site events or EHSS reviews), the TQP Accreditation Board may learn that one or more accreditation criteria are not being met for an accredited program. For each such reported problem, the Panel Chair will consult with the Deputy Secretary, and at the request of the Deputy Secretary, may initiate a review commensurate with the apparent magnitude of the problem. If such a review is conducted, the Panel Chair will inform the appropriate managers of the problem and will either request additional information or have a team conduct an onsite review of the affected program. If appropriate, the affected DOE managers will be asked to demonstrate to the TQP Accreditation Board that accreditation of the affected program should be continued.

Organizations for those TQPs placed on probation submit a corrective action plan to the TQP Accreditation Board within 30 days of being notified of probationary status. The corrective action plan should address all issues identified by the Accreditation Board and identify any mitigating or compensatory measures. The organization should submit monthly reports to the Accreditation Board indicating the status of implementing the corrective actions to improve the program. An accreditation review team may review activities at the site to determine if corrective actions are being effectively implemented. The TQP Accreditation Board will review the status of probationary programs on a quarterly basis and decide if the organization should remain on probation, if accreditation should be restored, or if accreditation should be withdrawn.

Accreditation is valid for approximately 4 years. The organization is expected to continue to maintain and implement the TQP in a manner that meets the objectives and criteria and ensures a robust program. Renewal of accreditation is accomplished by the same process as initial accreditation, and involves both a self-evaluation report submitted by the organization, as well as a review by an onsite accreditation review team.

3. ACCREDITATION OBJECTIVES AND CRITERIA.

The TQP objectives and supporting criteria are described in “TQP Accreditation Objectives and Criteria” posted on FTCP Website (<http://www.energy.gov/ehss/downloads/technical-qualification-program-accreditation-objectives-and-criteria>).

4. SELF-EVALUATION REPORT GUIDANCE AND FORMAT.

a. Self-Evaluation Process.

Line manager and staff involvement in, and support of, the self-evaluation process are the foundation of the TQP accreditation effort. This includes their involvement in the self-evaluation of the program and the preparation of the accreditation self-evaluation report. In assessing TQP effectiveness, line managers and staff determine whether the program is resulting in measurable improvements in the organization.

Accreditation evaluations are performed using the objectives and supporting criteria as described in “TQP Accreditation Objectives and Criteria” posted on FTCP Website (<http://www.energy.gov/ehss/downloads/technical-qualification-program-accreditation-objectives-and-criteria>). The strengths and areas for improvement are substantiated with examples and selected anecdotal evidence that help clarify and provide perspective on their scope and depth. The root or contributing causes of areas for improvement are investigated, and actions are taken to correct the problems. Corrective action effectiveness reviews verify that problems identified in self-evaluations remain corrected.

b. Development of a Self-Evaluation Report.

The results of accreditation self-evaluations are described in a report submitted approximately 2 months before a TQP accreditation review team evaluation. The accreditation self-evaluation report is a stand-alone document that conveys the health of the TQP. For accreditation renewal, the report also describes the results of ongoing and periodic focused self-evaluation conducted during the accreditation period. As such, report quality can be enhanced by maintaining and periodically updating it rather than reflecting the results of a single comprehensive evaluation.

Two months before the accreditation review team visit, the senior manager responsible for the organization requesting accreditation submits an approved self-evaluation report to the executive director of the TQP accreditation support office. The purpose of the report, together with an accreditation review team evaluation report, is to communicate sufficient information regarding the health of the TQP to facilitate an accreditation or accreditation

renewal decision by the TQP Accreditation Board. Report content includes program strengths and areas for improvement, important program changes since accreditation or the last accreditation renewal, and brief descriptions of how each TQP Assessment Objective included in the document is met. The report will be submitted to the TQP Accreditation Board for accreditation or accreditation renewal consideration; it should be written with that audience in mind.

Organizations are encouraged to be critical in evaluating their TQPs and candid in describing areas for improvement. The report summarizes the root or contributing causes for areas for improvement and corrective actions taken or planned. The section of the report that requires a written description of how each objective is met can be organized by addressing each criterion associated with the objective, or the objective description can be presented in a narrative format. The decision on which option to use is left entirely to the discretion of the organization submitting the report. The TQP Accreditation Board decision, however, will be based on how well each objective is met, not on whether any particular criterion is met.

c. Definitions of Key Terms for Accreditation Self-Evaluation Reports.

- (1) **Area for Improvement.** A TQP-related issue or problem that contributes to an accreditation objective not being fully met or that adversely impacts future TQP effectiveness is an area for improvement.
- (2) **Strength.** This is an objective-level positive aspect of the TQP that is key to achieving superior performance. A strength adds significant value or improves organizational performance, as demonstrated by the following elements:
 - enhanced ability of the organization to implement the TQP;
 - successful implementation based on performance results;
 - efficient use of organizational resources; and
 - potential to serve as a model for other organizations to emulate.
- (3) **Noteworthy Information.** This refers to comments included in the discussion section of the report that describe the quality of the TQP and provide perspective on the effectiveness of the program. Noteworthy information may be positive, but not strength or it may be a less significant problem or precursor to a more significant problem. For example, positive noteworthy information could be an aspect identified during a self-evaluation that is not considered strong enough to be called strength. Conversely, negative

noteworthy information could be a problem that is not substantial enough to be considered an area for improvement. Noteworthy information provides additional management perspective that can be of value to the accreditation review team and to the Accreditation Board.

d. Format of the Self-Evaluation Report.

The self-evaluation report includes the following sections:

(1) Introduction and Summary.

This section is used to share management's perspective on the TQP with the accreditation review team and the Accreditation Board. It is expected that each organization will include information that best conveys the appropriate perspective on the TQP. This section is normally one to three pages and should include information, such as:

- significant organizational performance issues and regulatory interactions that have helped shape the current organizational culture;
- strategic plans or events that have affected, or are likely to affect, the TQP, such as changes in staffing or loss of experienced personnel;
- overall management-level statement of how the TQP has been used to facilitate excellence in performance and strategy for the future; and
- description of how the accreditation self-evaluation report was prepared, the composition of the team, and the base of self-evaluation information used to develop the report.

(2) Mission and Organization.

This section is used to describe the mission(s) and functions of the organization requesting accreditation. The section also describes the organizational structure including high-level organizational charts, functions, and responsibilities.

(3) Self-Evaluation Results (by Objective).

This section comprises the majority of the self-evaluation report. Each objective is addressed individually in its own section. The following information is included for each objective.

- Discussion of Objective: Include noteworthy information and a brief summary of the status of how the objective is achieved.

This section can be organized to address each criterion associated with the Objective or can be presented in a narrative format. In either case, address the following information for each Objective using examples and limited anecdotal evidence, where appropriate, to provide perspective.

- **Strength(s):** Include examples and applications of the strength, and describe the benefits achieved by the strength.
- **Area(s) for Improvement:** Include date of identification, examples of the problem, root or contributing causes, actions taken or planned to correct the problem, and results of effectiveness reviews if performed.

NOTE: If no strengths or areas for improvement have been identified for the objective, then include the following statement: “No objective-level strengths or areas for improvement were identified.”

APPENDIX C
SAFETY SYSTEM OVERSIGHT, DUTIES,
RESPONSIBILITIES, KNOWLEDGE, SKILLS, AND
ABILITIES

1. OVERVIEW. Safety System Oversight (SSO) personnel are a key technical resource qualified to oversee contractor management of safety systems at the Department of Energy (DOE) defense nuclear facilities. Unlike Facility Representatives (FR), who are responsible for monitoring the safety performance of DOE defense nuclear facilities and day-to-day operational status, staff members assigned to SSO are responsible for overseeing assigned systems to ensure they will perform as required by the safety basis and other applicable requirements. SSO personnel are highly qualified people who perform assessments and investigations to confirm performance of assigned safety systems in meeting established safety and mission requirements and review sections of the Documented Safety Analysis (DSA) related to these systems. DOE line management is responsible for oversight of safety at DOE facilities and for meeting mission objectives and goals. Integrated Safety Management (ISM) System processes help to ensure systems are able to perform their design safety functions. Effective implementation of ISM relies upon the ability to apply engineering expertise to maintain safety system configuration and assess system condition and effectiveness of safety management program implementation. Federal staff requires a working knowledge of assigned systems and the contractor's application of the cognizant system engineer concept and safety program management as described in DOE O 420.1B, *Facility Safety*.

The SSO Qualification Program is a key part of the Technical Qualification Program (TQP), considered an additional level of technical qualification, and builds upon technical discipline competencies through TQP qualification under various Functional Area Qualification Standards (FAQS).

2. DUTIES AND RESPONSIBILITIES.

- a. SSO Personnel.

- (1) Maintain communication and oversight of systems and monitor performance of the contractor's Cognizant System Engineer Program.
- (2) Attend selected contractor meetings with FRs and contractor personnel responsible for system performance (e.g., cognizant system engineers, design authorities, and program managers), review system health/status reports, review test results, interface with external organizations that can provide insights on performance, and perform other oversight activities on a routine basis.
- (3) Perform assessments, periodic evaluation of equipment configuration, and material condition. The effect of aging on system equipment and components, the adequacy of application of work control and change control processes, and appropriateness of system maintenance and

surveillance should be considered with respect to reliable performance of safety functions.

- (4) In conjunction with FRs, perform evaluations of contractor troubleshooting, investigations, root cause evaluations, and selection and implementation of corrective actions. SSO personnel may also be requested to respond to off normal and/or off normal hours events and investigations and be able to provide relevant insights and serve as the DOE recognized expert on issues related to assigned areas.
- (5) Provide support to other Federal employees as appropriate. This may include program and project managers responsible for supervision of facility safety systems installed in new and modified facilities. It may also include those managing the implementation of ISM in the operation, maintenance, and configuration management of facility safety systems.
- (6) Assess contractor compliance with relevant DOE regulations, industry standards, contract requirements, safety basis requirements, and other system requirements.
- (7) Confirm configuration documentation, procedures, and other sources of controlling information are current and accurate.
- (8) Report potential or emergent hazards immediately to DOE line management and FRs, and stop tasks, if required, to prevent imminent impact to the health and safety of workers and the public, to protect the environment, or to protect the facility and equipment and immediately notify the on-duty or on-call FR.
- (9) May serve as a qualifying official in the development or revision of FAQs, mentor assigned backups, and qualify other candidates to the same FAQs attained to achieve SSO qualification.
- (10) Maintain cognizance of the appropriate funding and resources to maintain and improve safety systems.
- (11) May perform additional duties and responsibilities as assigned by their respective Field Element Managers (FEM) if needed to meet specific requirements of their sites/facilities, systems/program activities, or other involved organizations.

b. FEMs.

- (1) Establish SSO qualification programs as part of the TQP.
- (2) Establish appropriate training and performance requirements for SSO personnel and hold supervisors of SSO personnel accountable for achieving them.

- (3) Define SSO requirements and ensure that SSO staffing needs are filled.
- (4) Clearly define the functions, responsibilities, and authorities of personnel assigned to perform SSO and their interface/support of FRs. Ensure affected DOE and contractor managers understand their roles and relationships to FRs and the contractor's cognizant system engineers, and provide the necessary access and support.
- (5) Verify that SSO candidates possess the required level of knowledge or skills to perform assessments and investigations to confirm performance of safety systems in meeting established safety and mission requirements.
- (6) Assign qualifying officials to sign site-specific qualification cards.

c. Supervisors with Responsibilities for SSOs.

- (1) Maintain STSM qualification.
- (2) Develop site-specific SSO qualification standards and cards for safety systems and safety management programs.
- (3) Identify and approve candidate selection.
- (4) Establish SSO personnel qualification schedules.
- (5) Facilitate SSO qualification (e.g., ensure sufficient time and training is provided to complete qualification tasks).
- (6) Train and qualify SSO candidates so they are capable of performing assigned duties.
- (7) Ensure SSO responsibilities are included and maintained in individual performance plans.
- (8) Ensure SSO qualifications are maintained current by training and assignments planned in Individual Development Plans (IDP).
- (9) Periodically evaluate program effectiveness and serve as management advocates within their respective field elements to resolve programmatic issues.

3. SSO KNOWLEDGE, SKILLS, AND ABILITIES.

- a. Consistent with this Order, each field element organization develops a TQP to include the knowledge, skills, and abilities listed below for all SSO personnel. It is understood that as part of the TQP, all SSO personnel acquire the necessary basic technical knowledge and technical discipline competencies linked to their individual job descriptions. In addition, the overall competency expectation for SSO personnel is

that they have a working knowledge of, and ability to oversee, those safety systems to which they have been assigned. The following knowledge, skills, and abilities were developed to meet this expectation.

- (1) Identify and describe the Authorization Basis (AB) documents and describe the function and purpose of the assigned safety systems and major components and how these functions support the full spectrum of system operations.
 - (2) Given the major design basis supporting analyses, system design descriptions, calculations, and other information sources, explain how system performance requirements satisfy the AB.
 - (3) Describe the maintenance requirements of the safety system, describe how to determine the status and adequacy of contractor maintenance activities, and explain how the contractor maintains the configuration of the safety system (both physical and document configuration) throughout the work control and design change processes.
 - (4) Describe the unreviewed safety question process and its importance for maintaining the original safety basis.
 - (5) Describe the contractor's Cognizant System Engineer Program, the program's role in maintaining and improving safety system performance, the key criteria for determining that this role is adequately performed, and how to assess the program to confirm it is fulfilling assigned responsibilities.
 - (6) Describe the key considerations in preparing and implementing a troubleshooting plan to determine the root cause for equipment failures (e.g., evidence preservation, need for contingencies, and application of ISM to troubleshooting). Describe how to obtain related facility or industry experience to support the cause determination.
- b. In addition to evaluating and documenting how the above knowledge, skills, and abilities have been achieved as part of the SSO personnel qualification, field element organizations should also use practical exercises, such as the following to evaluate SSO staff knowledge, skills, and abilities.
- (1) Performing walk downs of the system and/or contractor facilities to demonstrate how system requirements and performance data are gathered.
 - (2) Conducting (preferably leading) performance-based assessments (through walk downs, interviews, document reviews, and field observations) to confirm that:
 - (a) AB documents are accurate and adequately maintained;

- (b) system operation, maintenance, and performance is in accordance with this basis;
- (c) the effect of aging on system equipment and components is addressed; and
- (d) the contractor has an adequate Cognizant System Engineer Program (e.g., staffing, qualifications, responsibilities, programs) for monitoring, maintaining, and improving system performance.

Achievement and demonstration of knowledge, skills, abilities, and related practical factors are fully documented on the SSO candidate's qualification card.