

**U.S. DEPARTMENT OF ENERGY  
OAK RIDGE OFFICE**



**SAFEGUARDS AND SECURITY**

**OFFICE/FACILITY-SPECIFIC  
QUALIFICATION STANDARD**

**Revision 1  
February 2008**

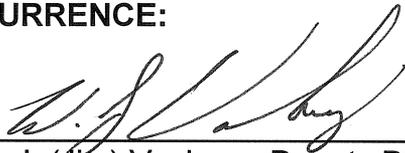
## CONCURRENCE AND APPROVAL

The Department of Energy (DOE) Oak Ridge Office (ORO) Assistant Manager for Security and Emergency Management (AMSEM) is the sponsor for this Safeguards and Security Office/Facility-Specific (OFS) Qualification Standard. AMSEM is responsible for reviewing this qualification standard to ensure that the technical content is accurate and adequate for its intended application, and for ensuring that the qualification standard is maintained current. Concurrence with this qualification standard by ORO management is indicated by the signatures below.

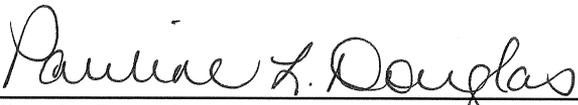
The Human Capital Assessment Group (HCAG) coordinates implementation of the Technical Qualification Program (TQP) and assists line managers in the development of ORO OFS qualification standards. Concurrence with this qualification standard by the Deputy Director of Human Resources is indicated by the signature below.

The ORO Federal Technical Capability Program (FTCP) Panel is the approval authority for this qualification standard and is indicated by the signature of the ORO FTCP Panel Chair below.

### CONCURRENCE:

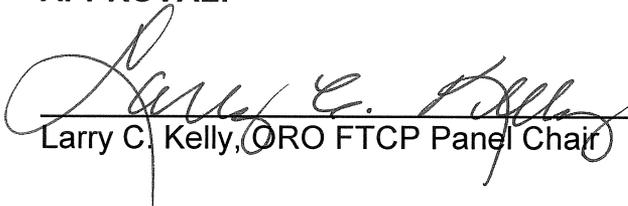
  
\_\_\_\_\_  
William J. (Jim) Vosburg, Deputy Director,  
ORO Human Resources Division

2-11-08  
Date

  
\_\_\_\_\_  
Pauline L. Douglas, Assistant Manager for Security and  
Emergency Management

2/12/08  
Date

### APPROVAL:

  
\_\_\_\_\_  
Larry C. Kelly, ORO FTCP Panel Chair

2-19-08  
Date

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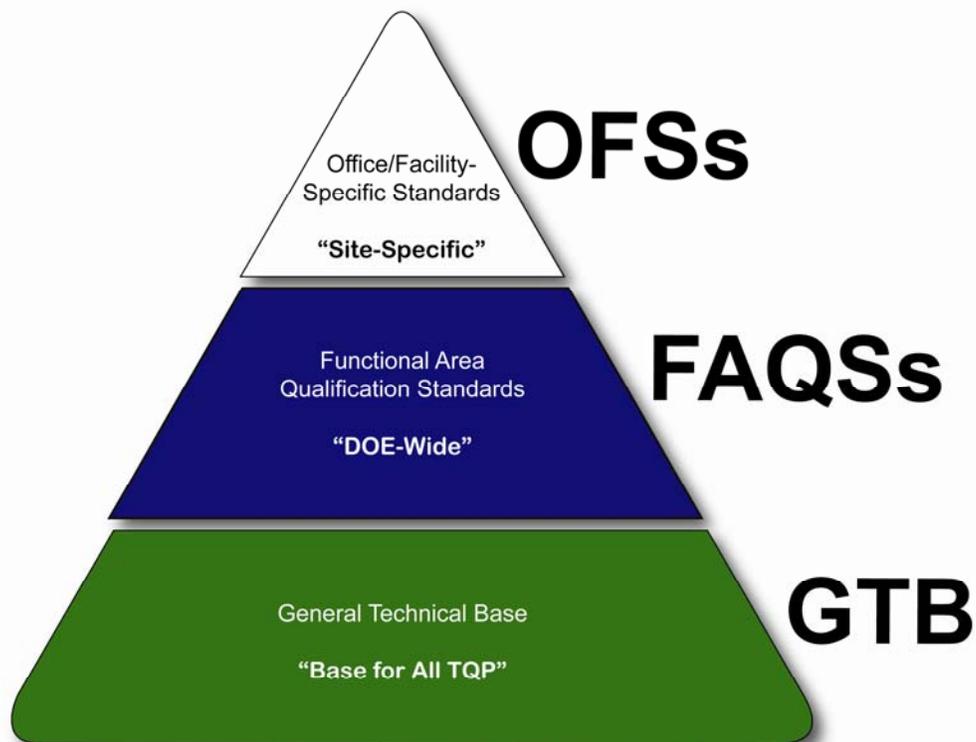
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## PURPOSE

DOE M 426.1-1, *Federal Technical Capability Manual*, commits the Department to continuously strive for technical excellence. The Technical Qualification Program (TQP), along with the supporting technical qualification standards, complements the personnel processes that support the Department's drive for technical excellence. In support of this goal, the competency requirements defined in this technical qualification standard should be aligned with and integrated into the recruitment and staffing processes for technical positions. This OFS qualification standard contributes to the basis for developing vacancy announcements, qualification requirements, crediting plans, interviewing questions, and other criteria associated with the recruitment, selection, and internal placement of ORO Safeguards and Security personnel.

This ORO OFS qualification standard is required by DOE M 360.1-1, *Federal Employee Training Manual*, DOE O 360.1, *Federal Employee Training*, and DOE M 426.1-1, *Federal Technical Capability Manual*, as part of the Technical Qualification Program (TQP) and as outlined in the illustration below, supplements the department-wide General Technical Base (GTB) qualification standard and Functional Area Qualification Standards (FAQSs).



## APPLICABILITY

This ORO OFS qualification standard establishes common office/facility-specific area competency requirements for all ORO Safeguards and Security personnel who provide assistance, direction, guidance, oversight, or evaluation of contractor technical activities that could impact the safe operation of DOE's nuclear and non-nuclear facilities.

## IMPLEMENTATION

This ORO OFS qualification standard identifies the minimum technical competency requirements for DOE ORO Safeguards and Security personnel. The competency statements define the expected knowledge and/or skill that an individual must meet. Each of the competency statements is further described by a listing of supporting knowledge and/or skill statements, which although not required, do describe the intent of the competency statements. In some cases, expected knowledge and/or skills have been designated as "Mandatory Performance Activities." These actions are not optional and can not be exempted.

Generally, TQP competencies identify a familiarity level, a working level, or an expert level of knowledge; or they require the individual to demonstrate the ability to perform a task or activity. These levels are defined as follows:

**Familiarity level** is defined as basic knowledge of or exposure to the subject or process adequate to discuss the subject or process with individuals of greater knowledge.

**Working level** is defined as the knowledge required to monitor and assess operations/activities, to apply standards of acceptable performance, and to recognize the need to seek and obtain appropriate expert advice (e.g., technical, legal, safety) or consult appropriate reference materials required to ensure the safety of Departmental activities.

**Expert level** is defined as a comprehensive, intensive knowledge of the subject or process sufficient to provide advice in the absence of procedural guidance.

**Demonstrate the ability** is defined as the actual performance of a task or activity in accordance with policy, procedures, guidelines, and/or accepted industry or Department practices.

Equivalencies should be used sparingly and with the utmost rigor and scrutiny to maintain the spirit and intent of the TQP. Equivalencies may be granted for individual competencies based on objective evidence of previous education, training, certification, or experience. Objective evidence includes a combination of transcripts, certifications, and in some cases, a knowledge sampling through a written and/or oral examination. Equivalencies shall be granted in accordance with the TQP Manual and the supporting knowledge and/or skill statements should be considered before granting equivalency for a competency.

Competencies can be achieved in numerous ways including on-the-job training; formal training and education courses, on and off the job; self-study; rotational assignments; mentoring; etc. Each fulfillment method, such as those below, is required to be documented.

- Formal education (college courses and academic degrees)
- Training (DOE, DOE contractor, other agency, vendor)
- DOE experience
- Equivalencies for prior experience, education, and training
- Documented oral evaluation
- Documented observation of performance
- Documented results of a written examination

## EVALUATION REQUIREMENTS

The evaluation process identified below serves as a measurement tool for assessing whether or not the participants have acquired the technical competencies in this qualification standard. The following requirements apply to the completion of this qualification standard. Verifying and documenting that the competencies have been met may be accomplished by delegated management, or by a subject matter expert (SME) designated by ORO management. Any of the following methods may be used to evaluate a competency. Each evaluation method is required to be documented.

- Formal education (college courses and academic degrees)
- Training (DOE, DOE contractor, other agency, vendor)
- DOE experience/on-the-job training
- Equivalencies for prior experience, education, and training
- Documented oral evaluation
- Documented observation of performance
- Written examination (including test out)

Whoever performs the verification must provide some level of evaluation to confirm the participant's level of understanding when self study (of DOE orders, Federal and state/local regulations, procedures), or required reading is used to satisfy a competency. In all cases, the evaluation is documented by signature on the participant's Technical Qualification Record. Documented satisfactory completion of the competencies contained in this qualification standard ensures that the ORO Safeguards and Security personnel enrolled in the TQP are qualified to fulfill their duties and responsibilities.

ORO Safeguards and Security personnel input, track, and print completion reports on technical qualification competency information using DOE's web-based Employee Self Service (ESS), which is located at <http://mis.doe.gov/ess/>. Upon completion of the qualification standards, the completion reports are sent to the ORO Human Capital Assessment Group (HCAG) for input into a centralized TQP Administration Module database.

Participants should read the TQP Manual posted on the HCAG web site prior to inputting information in ESS. The TQP Manual and other TQP resources are available through the HCAG web site at <http://www.ornl.gov/tdd/QualPrgm/qualprgm.htm>.

## INITIAL QUALIFICATION, REQUALIFICATION, AND TRAINING

This ORO OFS qualification standard has been constructed using information from position descriptions, DOE and ORO orders, and discussions with incumbents. The format of this document follows the department-wide functional area qualification standards developed by the DOE Federal Technical Capability Program.

Qualification of ORO Safeguards and Security personnel shall be conducted in accordance with the requirements of DOE O 360.1 *Federal Employee Training*, DOE M 360.1-1, *Federal Employee Training Manual*, and DOE M 426.1-1, *Federal Technical Capability Manual*. Personnel are not required to requalify; however, they shall participate in continuing education and training as necessary to improve their performance and proficiency and ensure that they stay up-to-date on changing technology and new requirements. This continuing education and training shall be documented in the employees Individual Development Plan (IDP) and may include courses and/or training provided by:

- DOE
- Other government agencies
- Outside vendors
- Educational institutions

Beyond formal classroom or computer-based courses, continuing training may include:

- Self-study
- Attendance at symposia, seminars, exhibitions
- Special assignments
- On-the-job experience

## DUTIES AND RESPONSIBILITIES

Specific duties and responsibilities of personnel who fulfill this ORO OFS are contained in each employee's position description.

## REQUIRED TECHNICAL COMPETENCIES

Each of the competency statements defines the level of expected knowledge and/or skill that an individual must possess to meet the intent of this standard. Each of the competency statements is further described by a listing of supporting knowledge and/or skill statements, which although not requirements, do describe the intent of the competency statement. In some cases, expected knowledge and/or skills (at least one per working level, expert level, or demonstrate the ability level competencies) have been designated as "Mandatory Performance Activities." These actions are not

optional. Please note that because of the varied and specialized activities within AMSEM, supervisors assign competencies for individuals based on job assignments.

**Important Note:** When regulations, DOE directives, or other industry standards are referenced in this OFS, the most recent revision should be used.

### **Administrative Competencies**

- 1. Safeguards and Security personnel who approve arming authority, provide regulatory oversight, or conduct protection force surveys, shall have a familiarity level knowledge of the review and authorization to carry firearms.**

#### Supporting Knowledge and/or Skills

- a. Review and discuss the statutory authority for protective force personnel to carry firearms (Title 42 U. S. C. 2011, *Atomic Energy Act of 1954*, Chapter 14, Section 161 K).
- b. Assess and comment on ORO contractor policy, standards, and procedure for the review and authorization process to allow protective force personnel to carry firearms.
- c. Discuss the periodicity for review and renewal of authorization for ORO protective force personnel to carry firearms.

- 2. Safeguards and Security personnel involved in program support, surveys, nonproliferation, or export control shall have a familiarity level knowledge of export control information (ECI).**

#### Supporting Knowledge and/or Skills

- a. Discuss the scope and function of the *Interim Guidelines on Export Control and Nonproliferation*.
- b. Summarize the types of information transfers that are subject to ECI controls.
- c. Identify where the Nuclear Supplier Group export control lists can be found and summarize the types of information found on the lists.
- d. Describe ORO Safeguards and Security responsibilities in the implementation of the ECI interim guidelines.
- e. Obtain, or describe the process to obtain, an export control license.
- f. Illustrate the controls imposed if a document is determined to be ECI.
- g. Identify the records required for a document/material determined to be ECI.

- h. Provide a breakdown of the categories of technologies that are subject to export control for nuclear nonproliferation reasons.

### **Regulatory Competencies**

3. **Safeguards and Security personnel involved in program support shall demonstrate a familiarity level knowledge of the requirements and processes of the ORO emergency management system, the Oak Ridge Emergency Operations Center, and the Oak Ridge Operations Center.**

#### Supporting Knowledge and/or Skills

- a. Describe the objectives and responsibilities established in DOE Order 151.1C, *Comprehensive Emergency Management System*, and ORO Order 150, *Emergency Management and Planning*.
- b. Define the following terms:
  - Emergency planning.
  - Emergency response.
  - Readiness assurance.
  - Emergency preparedness.
  - Recovery.
  - Operational emergency.
- c. Describe the Safeguards and Security security support advisor's role in support of 1) the Emergency Response Center, and 2) the Oak Ridge Operations Center.

4. **Safeguards and Security personnel shall demonstrate a familiarity level knowledge of ORO's Counterintelligence Program in accordance with DOE Order 475.1, *Counterintelligence Program*.**

#### Supporting Knowledge and/or Skills

- a. Read and discuss the Counterintelligence Procedural Guide.
- b. Explain the scope and intent of Executive Order 12333.
- c. Summarize the processes detailed in *DOE Procedures for Intelligence Activities*.
- d. Explain the influence of the Freedom of Information and Privacy Acts on the ORO Counterintelligence Program.

## **Management and Assessment Competencies**

- 5. Safeguards and Security personnel shall demonstrate the ability to provide program management assistance to ORO managers in the design and execution of security programs.**

### Supporting Knowledge and/or Skills

- a. Confer with ORO Management on safeguards and security program planning and management.
- b. Review contractor Safeguards and Security Management Plans for documentation of sufficient planning and budget execution for safeguards and security programs.

### Mandatory Performance Activity

Evaluate safeguards and security plans, deviation requests, access authorization justifications and other safeguards and security management tools as applicable to the referenced functions.