



**TECHNICAL QUALIFICATION PROGRAM MANUAL - Revision 1**  
**A Desktop Reference for Supervisors and Participants**

**HOW TO USE THIS MANUAL**

The *Technical Qualification Program Manual (A Desktop Reference for Supervisors and Participants)* describes how the Technical Qualification Program is implemented at Oak Ridge Operations (ORO). The significant implementation activities include enrolling in the program, identifying program and individualized competencies, attaining the competencies, completing the program, and maintaining and enhancing proficiency through continuing training and requalification.

Each section of the manual lists the actions required by the participant, his or her supervisor, and the Training and Development Group (TDG). If there is any question on how or why any activity should be fulfilled, please contact TDG, and you will be referred to an individual who can assist you. For your convenience, much of this information can also be accessed on the TDG Web Site, <http://www.ornl.gov/tdd/QualPrgm/qualprgm.htm>.

**TECHNICAL QUALIFICATION PROGRAM MANUAL - Revision 1**  
**A Desktop Reference for Supervisors and Participants**

**CONTENTS**

	<b>Page</b>
I. Introduction .....	1
II. Selecting Participants and Standards .....	5
III. Completing the TQP .....	9
IV. Continuing Training and Requalification .....	16
V. TQP Records and Reporting .....	17
VI. References .....	18
 Appendices	
A. Example Exemption and Equivalency Justifications .....	19
B. Abbreviations and Acronyms .....	20
C. ORO Policy on Staff Involvement With Technical Organizations and Societies .....	21
 Attachment	
ORO Technical Qualification Program Plan .....	1

**TECHNICAL QUALIFICATION PROGRAM MANUAL - Revision 1**  
**A Desktop Reference for Supervisors and Participants**

## **I. INTRODUCTION**

### **Background**

In response to the Defense Nuclear Facilities Safety Board (DNFSB) Recommendation 93-3, *Improving DOE Technical Capability in Defense Nuclear Facilities Programs*, the Department of Energy (DOE) developed a formal qualification program for headquarters and field element technical employees who provide management oversight or technical guidance and whose actions or decisions could impact the safe operations of DOE defense nuclear facilities.

The Technical Qualification Program (TQP) was formalized in May 1995 by DOE O 360.1, *Training*, and the issuance of approximately 24 Department-wide qualification standards approved for use by senior management. Oak Ridge Operations (ORO) has enrolled nearly all its federal staff in technical positions to participate in the program. Many were initially selected in late summer and early fall of 1995. Following selection, the Training and Development Group (TDG) (known as the Training and Development Division at that time) conducted a series of workshops to brief participants on the TQP and the Technical Qualification Record (TQR) and its use. TDG provided the participants with job aids, forms, and assistance to make selections and document their decisions. Additional participants, such as those named as senior technical safety managers (STSMs) and managers and staff in the Safeguards and Security Division, came into the program in late calendar year 1996 and early 1997.

In March 1998, at the request of the DNFSB, DOE revised its implementation plan to include and reflect current DOE issues and initiatives. This plan included the establishment of the Federal Technical Capability Program (FTCP) and a Panel of agents from DOE program and operations/field offices.

This revised plan also specified the conduct of the Phase I and Phase II assessments of the TQP. The Phase I assessment, using criteria from *Technical Qualification Program Assessment Guidance and Criteria* (issued in July 1998), evaluated the effectiveness of the implementation of the TQP at ORO and resulted in the revision to the ORO TQP Plan. Phase II assessments periodically evaluate the effectiveness of the upgrade process that has occurred since the last assessment of the TQP.

As a result of the Phase I assessment, ORO in December 1998, established the ORO Federal Technical Capability Program (FTCP) Panel, consisting of the core group of STSMs, to oversee all 93-3 implementation activities at ORO. The Panel was retooled in July 2002.

**TECHNICAL QUALIFICATION PROGRAM MANUAL - Revision 1**  
**A Desktop Reference for Supervisors and Participants**

The Panel conducted the August 1999 Phase II assessment of the TQP and a self-assessment of FTCP implementation at ORO in March 2000. In August 1999, the ORO Panel approved the annual assessment of the TQP, and in September 1999, the Panel expanded the criteria for participation in the TQP to include non-nuclear hazard and non-defense facilities.

The results of the Phase I and II assessments also included the need for ORO to update and assemble the TQP implementation guidance into a desktop reference or manual to assist supervisors and participants in their enrollment and completion of the TQP requirements.

On November 9, 1999, the DNFSB approved the Secretary's proposal to close Recommendation 93-3 and to maintain attention to the Department's technical capability under the auspices of the DOE FTCP Panel.

The Y-12 Area Office (YAO) was transferred organizationally to the National Nuclear Security Administration (NNSA) in the fall of 2000. ORO and YAO formalized the service agreement December 1, 2000, which described "the mutual dependencies that currently exist between YAO and ORO organizations; and, independent of affiliation, it leverages the skills of our personnel resources to the best advantage of both." YAO changed its name to the Y-12 Site Office (YSO) in June 2002, and opted to not participate in the ORO FTCP Panel and associated activities.

The TQP requirements are now set forth in ORO O 360, *Employee Education and Training* and the Federal Technical Capability Program directives, DOE O 360.1B, *Federal Employee Training*, DOE M 360.1-1B, *Federal Employee Training Manual*, and DOE M 426.1, *Federal Technical Capability Manual*.

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**Purpose**

The ORO TQP establishes and maintains the technical capabilities necessary for technical personnel in nuclear and high-, medium-, or low-hazard facilities to carry out the mission of ORO while protecting the health and safety of employees and the public. By comparison, the purpose of the individual development plan (IDP) process, which encompasses the TQP, is to identify, develop, and maintain administrative, technical, and/or professional capabilities for all personnel.

**TECHNICAL QUALIFICATION PROGRAM MANUAL - Revision 1**  
**A Desktop Reference for Supervisors and Participants**

The purpose of the *Technical Qualification Program Manual (A Desktop Reference for Supervisors and Participants)* is to assist supervisors and participants in enrolling in the TQP, completing the TQP requirements, and maintaining their technical capabilities. The TQP Plan, which describes how ORO implements the TQP requirements, is attached to this manual.

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**Scope**

The Oak Ridge Operations Technical Qualification Program applies to federal technical employees whose positions require them to provide management direction and oversight that could impact the safe operations of a nuclear facility or high-, medium-, or low-hazard facility. Participant selection criteria are provided in Section II, *Selecting Participants and Standards*.

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**Integrated Safety Management (ISM)**

As described in DOE P 450.4, *Safety Management System Policy*, the ISM principles must be incorporated into all work activities. To this end, ISM practices need to be woven into all training and development activities, as practicable and applicable.

Further, the ISM principle, *Competence Commensurate with Responsibilities*, refers in part to the specific competencies that individuals need to develop and maintain in order to “discharge their responsibilities.” The goal, then, for all ORO qualification and continuing training programs is to ensure that individuals acquire those specific skills and knowledge that are necessary to perform their job safely.

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**Administrative requirements for TQP implementation**

The following administrative requirements for TQP implementation are derived from the Federal Technical Capability Program and its related directives.

1. ORO managers designate the positions in their respective organizations required to participate in the TQP and the applicable qualification standard(s).
2. The ORO Deputy Manager for Operations (M-2) is responsible for implementation of the TQP.

**TECHNICAL QUALIFICATION PROGRAM MANUAL - Revision 1**  
**A Desktop Reference for Supervisors and Participants**

3. Employees in the TQP satisfy the competencies contained in the applicable qualification standards assigned to them. These standards encompass the General Technical Base, DOE-wide functional area qualification standards (FAQSs), and office/facility-specific (OFS) qualification standards,. This is a three-tiered qualification process for TQP participants, whereby each participant must fulfill the competencies of the general technical base, the primary functional area, and office/facility-specific standards.
  4. Equivalencies may be granted to personnel based upon objective evidence of previous education, training, certification, or experience.
  5. Personnel are given TQP completion dates commensurate with the complexity of the qualification process, normally within 18 months.
  6. Extensions to the qualification period may be granted by the ORO FTCP Panel, provided that the supervisor submits a request (nominally three months prior to the due date) with justification for the extension. The request must include an explanation of the circumstances that prevented the participant from completing the program, and a plan for how the participant will complete the program in the proposed extended period.
  7. The supervisor may request a subject matter expert (SME) to serve as a qualifying official to assist in the review and evaluation of TQP documents and competencies. As such, qualifying officials and/or supervisors verify and document participants' completion of competencies.
  8. Personnel who have completed applicable qualification requirements must maintain their proficiency and continue their professional development through ongoing participation in additional, relevant training, education, and developmental activities.
  9. Each ORO organization's designated Training Liaison assists TDG with the implementation of the TQP. The Training Liaison's duties include assisting in the identification of individual and organizational training, education, and development needs; tracking qualification expirations and reminding individuals of upcoming expirations and available training offerings; and assisting line managers in ensuring that personnel attend required training or participate in timely makeup training.
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**TECHNICAL QUALIFICATION PROGRAM MANUAL - Revision 1**  
**A Desktop Reference for Supervisors and Participants**

## **II. SELECTING PARTICIPANTS AND STANDARDS**

### **Preparing the organization for participation in the TQP**

1. The division or group identifies safety-related and/or defense nuclear functions, assisted by TDG as necessary.
2. The division or group identifies the positions responsible for these functions.
3. The division or group matches individual job tasks to the DOE qualification standards and competencies.
4. The division or group will develop an office/facility-specific (OFS) standard that incorporates the activities and functions unique to the setting, type of work, facility, site, or organization , assisted by TDG as necessary.
5. The division or group matches the identified standards and competencies with the position descriptions. Note: All position descriptions for TQP positions are required by the ORO FTCP Panel to contain a statement that indicates that the person holding that position must participate in the TQP.

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### **Identifying employees as TQP participants and getting started**

The Oak Ridge Operations Technical Qualification Program applies to federal technical employees whose positions require them to provide management direction and oversight that could impact the safe operations of a nuclear or high-, medium-, or low-hazard facility. The following steps assist management and employees in determining participation in the TQP by providing consistent interpretation of the above definition.

**Step 1:** Do you perform work that involves a nuclear facility or a high-, medium-, or low-hazard facility?

If YES, go to Step 2. If NO, then you are not required to be in the TQP.

**Step 2:** Are you a GS-11 or above (including Senior Executive Service)?

If YES, go to Step 3. If NO, then you are not required to be in the TQP.

**TECHNICAL QUALIFICATION PROGRAM MANUAL - Revision 1**  
**A Desktop Reference for Supervisors and Participants**

**Step 3:** Do you perform any of the following activities?

- Review of authorization basis documents
- Participation in operational readiness reviews and readiness assessments
- Implementation of regulatory agreements
- ES&H, quality assurance, appraisals, or facility walk-throughs
- Other activities that could impact safe operation of a nuclear or high-, medium-, or low-hazard facility.

If YES, then you meet the requirement of the above definition and are required to be in the TQP. If NO, then you are not required to be in the TQP unless your Assistant Manager determines that you should be in the program.

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**Optional participation**

The participant requests inclusion in the TQP as part of career development. The participant must still complete all requirements of the TQP as stated in this Manual.

The supervisor and Assistant Manager approve the employee's request for participation.

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**General Technical Base Qualification Standard**

All participants are expected to fulfill the competencies of the General Technical Base (GTB) Qualification Standard. Exemption from any GTB competency requires approval of the ORO FTCP Panel.

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**Selecting functional area qualification standards that match the participant's job**

The supervisor and the participant review the primary functional areas (PFAs) and determine which PFA best suits the participant's job position and duties. The participant is expected to fulfill every competency statement in the PFA, unless an exemption is approved by the immediate and next-level supervisors. The FAQs can be accessed from the TDG Web Site at <http://www.ornl.gov/tdd/QualPrgm/qualprgm.htm>.

The supervisor and participant also determine if a secondary functional area (SFA) is necessary. An SFA is required only if the PFA is Project Management; otherwise, the SFA is optional. A participant may choose an SFA if his/her job tasks involve more than one functional area or if the PFA is a generic job description (e.g., STSM) and the participant has expertise in a particular functional area (e.g., chemical processing). The participant can choose only those competencies from the SFA that pertain to his/her job, deleting those that do not apply. (Note: Deletion is an option for SFAs and OFS areas, but only if specified in the standard. Competencies cannot be deleted from the GTB or PFA.)

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**TECHNICAL QUALIFICATION PROGRAM MANUAL - Revision 1**  
**A Desktop Reference for Supervisors and Participants**

**Selecting or creating an office/facility-specific (OFS) standard**

1. The supervisor and participant must then choose an existing OFS qualification standard or create a new one. The OFS is made up of competencies that are required for a particular job (i.e., the activities and functions unique to the setting, type of work, facility, site, or organization) and are not covered in the GTB, PFA, or SFA.
2. Many organizations in ORO have developed OFS qualification standards for their employees. The participant can choose from the organization's qualification standards the competencies that apply to his/her job. A custom OFS qualification standard can be developed by choosing pertinent competencies from other TQP or professional qualification standards. If the participant's organization does not have an OFS standard or if the organization OFS standard does not cover the competencies required for a particular participant's job, an individualized OFS qualification standard must be developed.
3. The supervisor and participant should call upon TDG for guidance and assistance in developing an OFS standard.

**Approval of OFS Qualification Standards**

4. All OFS qualification standards must be approved by the ORO FTCP Panel. The Standard is submitted to the Panel for review and comment by Panel member(s) for ten business days, after which Panel members' comments must be resolved in five days. After 15 business days from the submittal date, the Standard is automatically approved unless a Panel member objects. This objection must be formally discussed and resolved by the Panel.

**Facility Representatives**

Facility representatives must comply with both the ORO Facility Representative Program Manual and this TQP Manual. While the facility representatives must complete the DOE TQP Facility Representative Functional Area Qualification Standard program, each ORO organization supplements the requirements of TQP and the DOE-STD-1063-2000, *Facility Representatives*, with office and facility qualification standards and procedures. Satisfying all local and DOE requirements will allow the prospective facility representative to receive ORO TQP certification. All completion documentation must be submitted to TDG for record keeping.

**STSM Program**

Only employees occupying positions designated by ORO management as STSM positions complete the DOE and ORO STSM standards. Refer to DOE M 426.1-1, *Federal Technical Capability Manual*, for guidance on STSM selection and qualification. Additional guidance is contained in *The Handbook for Senior Technical Safety Manager Positions*, which can be found at <http://www.ftcp.org/directives/Directives.asp>.

**TECHNICAL QUALIFICATION PROGRAM MANUAL - Revision 1**  
**A Desktop Reference for Supervisors and Participants**

**Enrollment**

1. The employee, in conjunction with the supervisor, completes the “TQP Assignment/Due Date Memorandum,” which can be found at <http://www.ora.gov/tdd/QualPrgm/qualprgm.htm>.
  2. The participant, Division Director, and Assistant Manager sign the memo.
  3. The supervisor retains a copy for the organization’s file and the participant, and submits the original to TDG.
  4. TDG creates or updates the participant’s electronic TQP record on the DOE Employee Self Service (ESS) web site at <https://mis.doe.gov/ess/>
  5. TDG will notify the employee when the ESS TQP Record is created or updated.
  6. Participants should refer to the ESS/TQP Competency Data Entry Guidance for instructions on the ESS TQP process, which are located at <http://www.ora.gov/tdd/QualPrgm/qualprgm.htm>.
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**TECHNICAL QUALIFICATION PROGRAM MANUAL - Revision 1**  
**A Desktop Reference for Supervisors and Participants**

### III. COMPLETING THE TQP

**Using Employee Self Service (ESS)**

TQP participants enter, track and report on technical qualification competency information through DOE's web-based Employee Self Service (ESS) program. The reports are sent to ORO's Training and Development Group (TDG) for input into a centralized database. Use of ESS for the TQP is described in this Manual and in detail in the ESS/TQP Competency Data Entry Guidance located at <http://www.ora.gov/tdd/QualPrgm/qualprgm.htm>.

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**Choosing a fulfillment option**

The participant should first go through every applicable competency in each selected qualification standard and determine the way the competency will be fulfilled. For each competency, the participant has a choice of three fulfillment options:

- exemption
- equivalency
- developmental activity

Only one option can be selected for each competency.

**Note: Once the fulfillment options are approved by the supervisor, changing a developmental activity designation to an equivalency or exemption requires review and approval by the ORO FTCP Panel.**

**Exemption**

If the participant does not possess the requisite skills and knowledge in this area, and the competency is not part of the job tasks, then the participant requests an exemption. (If the competency is not part of job tasks but the participant does possess the knowledge and/or skills, it should be claimed as equivalency.) Exemptions to the General Technical Base Qualification Standard must be approved by the ORO FTCP Panel.

**Equivalency**

If the participant possesses the necessary skills and knowledge for competency in the area, the participant requests an equivalency and submits evidence of previous completed developmental activities. These activities and knowledge and/or skills acquired are equivalent to developmental activities currently available.

**Developmental activity**

The participant does not currently possess an acceptable level of the knowledge and/or skills required for this position. The participant identifies the developmental activity(ies) to acquire the required knowledge and skill level.

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**TECHNICAL QUALIFICATION PROGRAM MANUAL - Revision 1**  
**A Desktop Reference for Supervisors and Participants**

**Deadline for completion of exemption/ equivalency justifications and identification of planned developmental activities**

The participant has six months from his/her entry date in the TQP to complete the Exemptions and Equivalencies portion of the TQP and to identify planned developmental activities. For this portion to be considered complete, the following elements must be in place:

- All exemption and equivalency justifications are written, entered in ESS TQP, and approved, as evidenced by signature of the supervisor or qualifying official. See Appendix A for examples of acceptable exemption and equivalency justifications\*.
- All developmental activities are identified, entered in ESS TQP, and approved, as evidenced by the signature of the supervisor or qualifying official.
- All supporting documentation is compiled, reviewed, and approved, as evidenced by signature of the supervisor or qualifying official.
- Exemption and/or equivalency information and documentation have been turned in to TDG.
- Planned developmental activities information has been turned in to TDG.
- TDG approves the exemption and/or equivalency information and the planned developmental activities documentation before the participant can proceed.

\* Assemble the documentation that supports your justification statement(s) matching the evidence to the competency as much as possible. This could include such physical evidence as transcripts, course certificates, attendance sheets, supervisors' testimonials, or project logs. More specifically, examples of evidence for the following are:

- education courses – provide the title of the course, the institution attended, the dates of attendance and/or the course taken, and a description of how the specific course content has fulfilled the competency knowledge and skill.
- training courses or activities – provide the title of the course, the vendor, the dates of attendance, the results of the course exam or evaluation, and a description of how the specific course content has fulfilled the competency knowledge and skill.
- work experience – provide job title, position description, dates of employment, name of the employer and the organization, a description of how the specific job tasks have fulfilled the competency knowledge and skill.

**TECHNICAL QUALIFICATION PROGRAM MANUAL - Revision 1**  
**A Desktop Reference for Supervisors and Participants**

**Completing exemption and equivalency justifications and documentation**

1. Once all justifications have been written (and input into ESS) and supporting evidence gathered for each competency, the participant prints out the narrative justifications report for exemptions and equivalencies. The participant also prints out and signs all designations reports for exemptions and equivalencies. The signed designations reports, narrative justification reports, and supporting evidence is compiled to create a packet.
2. The participant forwards the packet to the first-level supervisor to review, and concur that stated justifications adequately describe how the participant gained the acceptable level of competency and that the supporting evidence is complete.
3. The supervisor may request a subject matter expert (SME) to review and validate the exemption/equivalency justification.
4. Once the first-level supervisor and/or qualifying official have signed off on all exemptions and equivalencies, the first-level supervisor forwards the approved packet to the second-level supervisor or returns the disapproved (with an explanation) packet to the participant.
5. The second-level supervisor returns the approved, signed or disapproved (with an explanation) packet to the participant.
6. If the packet is disapproved, the participant consults with the supervisor and/or TDG to determine the necessary corrective actions.
7. The participant makes copies of the signed reports and supporting evidence.
8. The participant sends the original signed reports and copies of supporting evidence to Patty Dockery, TDG (AD-443).
9. TDG reviews the documentation for accuracy and completeness prior to filing it in the individual's technical qualification record (TQR).
10. The participant submits all exemption and equivalency information within six months of the start date.

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**Selecting the type of developmental activity**

1. The participant reviews the knowledge and skills to determine those to be acquired.

**TECHNICAL QUALIFICATION PROGRAM MANUAL - Revision 1**  
**A Desktop Reference for Supervisors and Participants**

2. The participant researches and determines a training (developmental) activity that will result in gaining the required level of knowledge or skill for meeting the competency. Example types of developmental activities include:
  - on-the-job training
  - self-study
  - training course
  - mentoring
  - college course
3. The participant inputs the type of developmental activity, the target date for completion, and an explanation of the planned developmental activity in ESS.
4. The participant repeats this process for each competency when the participant does not possess the required skills and knowledge.
5. Once all developmental activities have been identified (and input in ESS), the participant prints the Developmental Activities Needed Report and submits it with the Exemptions/Equivalencies packet to the immediate supervisor within six months of the start date.
6. The supervisor initials each activity indicating approval and support of the planned activity. The supervisor may request an SME to assist in this process.

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**Completing the developmental activities**

The participant is expected to complete the assigned/selected developmental activities within 18 months of starting the TQP.

1. As each developmental activity is completed, the participant enters completion information (e.g. Date Completed, Approximate Hours) in the Developmental Activities Needed section of ESS. The participant must have the documentation of completion (e.g., training certificate, signed self-certification form, supervisor's confirmation of on-the-job training).
2. Once all developmental activities are completed and the completion information is entered in ESS, the participant, once again, prints the Developmental Activities Needed Report, and with the documents of completion, meets with the supervisor to be evaluated on the acquired competency. The supervisor may request an SME to serve as a qualifying official to assist in this evaluation process.
3. The supervisor/qualifying official completes the evaluation of activities. See the next section for more information.

**TECHNICAL QUALIFICATION PROGRAM MANUAL - Revision 1**  
**A Desktop Reference for Supervisors and Participants**

4. The supervisor/qualifying official signs the Developmental Activities Needed Report confirming successful completion of developmental activities (including evaluation) and returns the packet to the participant to enter the evaluation results data in ESS.
5. The participant makes copies of all signed pages and supporting documentation and sends original signed pages and supporting documentation copies to Patty Dockery, TDG (AD-443).
6. TDG reviews the documentation for accuracy and completeness prior to filing in the individual's TQR..

NOTE: If an extension to the target completion date is needed, a request for an extension is submitted by the participant's supervisor to the ORO FTCP Panel for approval. The supervisor submits a request (nominally three months prior to the due date) with justification for the extension. The request must include an explanation of the circumstances that prevented the participant from completing the program, and a plan for how the participant will complete the program in the proposed extended period, for example, listing dates of training to be completed.

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**Evaluating the participant's completed competency – the general approach**

1. The supervisor or the delegated qualifying official is responsible for evaluating the individual's knowledge or performance upon completion of developmental activities for a competency, particularly if the competency fulfillment had not been formally evaluated (e.g., by passing a course examination).
2. The supervisor or a qualifying official will evaluate the participant using any of the following:
  - Oral evaluation (e.g., discussion, questioning, and walk-through)
  - Performance demonstration
  - Written examination
  - Verification of successful course completion
3. The person conducting the evaluation should refer to the supporting knowledge and skills listed for each competency in the qualification standards. These knowledge and skill statements can easily be converted to a question or performance activity. The qualification standards are located on the TDG Web Site at <http://www.ora.gov/tdd/QualPrgm/qualprgm.htm>.

**TECHNICAL QUALIFICATION PROGRAM MANUAL - Revision 1**  
**A Desktop Reference for Supervisors and Participants**

4. TDG can assist the supervisor, if needed, in determining and implementing an appropriate evaluation method for each competency.

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**Evaluating the participant's completed competency – the specific approach**

1. Upon notification and receipt of a participant's developmental activity completion package, the supervisor reviews the package to determine the appropriate method of evaluation (e.g., acceptance of course exam; oral evaluation, performance demonstration, or written examination of participant's acquired knowledge or skill). The supervisor may request an SME to serve as a qualifying official to evaluate the participant's attained knowledge and/or skill. The supervisor or qualifying official signs off on those competencies for which he or she is qualified or knowledgeable.
2. The participant prepares for the evaluation for the completed competency.
3. The supervisor or qualifying official schedules a meeting with the participant to conduct the evaluation.
4. The supervisor and/or qualifying official evaluates the participant, using one of the prescribed methods.
5. If a participant does not satisfactorily complete a course, examination, evaluation, or other activity, the supervisor or qualifying official identifies, administers, and documents appropriate remedial activities.
6. As necessary, the participant completes appropriate remedial activities.
7. When the participant successfully completes the evaluation, the supervisor or qualifying official documents the evaluation method, provides notes regarding the evaluation, documents the evaluation date, and signs on the Qualifying Official Signature line for each competency. The supervisor also signs the Signature line on the last page of the Developmental Activities Needed Report.
8. The supervisor forwards the original evaluation documentation (with supporting evidence, e.g., course completion certificates, exams, etc.) to TDG and returns a copy to the participant.

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**Completing the TQP documentation**

1. Once all records (electronic and paper) have been received by TDG, TDG reviews the participant's completed TQR.
2. If everything is fully documented, TDG will prepare a TQP Completion Certificate for signature.

**TECHNICAL QUALIFICATION PROGRAM MANUAL - Revision 1**  
**A Desktop Reference for Supervisors and Participants**

3. The certificate goes to the participant's Assistant Manager and to the ORO Manager for signature.
4. The participant's supervisor presents the TQP Completion Certificate to the participant.
5. The participant or supervisor sends a copy to TDG.
6. TDG files the copy of the certificate of completion in the participant's TQR.

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**Changes in the participant's job, duties, or facilities**

1. If the participant's job changes, the supervisor submits another TQP Assignment Memo. The ESS record will be updated with the information from the Assignment Memo.
  2. The participant and supervisor should consult with TDG to ensure appropriate functional area and OFS standards match the participant's new job or job duties. Note that previously approved competency exemptions may be voided as a result of position changes.
  3. For new or revised competencies, the participant and supervisor will complete the TQP qualification processes as described in this Manual.
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**TECHNICAL QUALIFICATION PROGRAM MANUAL - Revision 1**  
**A Desktop Reference for Supervisors and Participants**

**IV. CONTINUING TRAINING AND REQUALIFICATION**

**Continuing training**

Participants who have completed applicable qualification requirements must maintain their proficiency and continue their professional development through ongoing participation in additional, relevant training, education, and developmental activities.

Continuing training activities can address new competencies, competencies in revised standards, inter-and intra-disciplinary competencies, and routine and refresher topics.

The participant and supervisor use the IDP (and annual performance appraisal) as the vehicle to define and implement continuing training and development. They should use DOE-HDBK-1118-99, *Guide to Good Practices for Continuing Training*, for guidance.

Supervisors and Assistant Managers may require the completion of additional competencies due to changes in organizational mission, reorganizations, new requirements, or mandates from DOE Headquarters. Deadlines for these additional competencies will be determined as competencies are assigned.

The participant completes and documents appropriately all assigned continuing training and development activities.

The completed continuing training activity should be identified as a TQP continuing training activity by the employee and maintained in the participant's TQR.

**Requalification**

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Requalification is only applicable to Facility Representatives (FRs).

The supervisor and participant refer to DOE-STD-1063-2000, *Facility Representatives*, and the guidance in the *ORO Facility Representative Program Manual*.

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**TECHNICAL QUALIFICATION PROGRAM MANUAL - Revision 1**  
**A Desktop Reference for Supervisors and Participants**

**V. TQP RECORDS AND REPORTING**

**Record keeping**

The TQP participants are responsible for entering and updating information in their ESS TQP records.

TDG accesses, controls, and maintains the training and qualification records in accordance with standard DOE practices.

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**Tracking**

Participants transmit to TDG the completed portions of their TQRs and any accompanying documentation to support the completion of the associated competencies.

TDG updates the CHRIS TQP database accordingly and files the information in the individuals' TQRs.

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**Reporting**

TDG is required to periodically report on qualification progress and program status to the DOE FTCP Panel. In addition, TDG reports to the ORO FTCP Panel and ORO management as needed to allow their monitoring of participant progress.

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**Requests for records**

TDG makes employee TQP training and qualification records available to the employee at any time.

Upon an employee's reassignment, transfer, or separation, TDG provides to the employee, on request, a copy of the training record.

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**TECHNICAL QUALIFICATION PROGRAM MANUAL - Revision 1**  
**A Desktop Reference for Supervisors and Participants**

**VI. REFERENCES**

1. DOE O 360.1B, *Federal Employee Training*
2. DOE M 360.1-1B, *Federal Employee Training Manual*
3. DOE G 426.1-1, *Recruiting, Hiring, and Retaining High-Quality Technical Staff - A Manager's Guide to Administrative Flexibilities*
4. DOE M 426.1, *Federal Technical Capability Manual*
5. DOE P 426.1, *Federal Technical Capability Policy for Defense Nuclear Facilities*
6. DOE P 450.4, *Safety Management System Policy*
7. DOE-STD-1063-2000, *Facility Representatives*
8. ORO O 360, *Employee Education and Training*
9. *Service Arrangement between Oak Ridge Operations and the Y-12 Site Office, National Nuclear Security Administration, Revision 2, October 18, 2002*
10. *U.S. DOE Employee Self Service – Technical Qualification Program, Competency Data Entry Guidance, July 2001*

**TECHNICAL QUALIFICATION PROGRAM MANUAL - Revision 1  
A Desktop Reference for Supervisors and Participants**

**APPENDIX A**

**EXAMPLE EXEMPTION AND EQUIVALENCY JUSTIFICATIONS**

**Example Competency and Exemption Justification Statement**

Competency 4.5 -Environmental compliance personnel shall demonstrate the ability to review and assess the following National Environmental Policy Act (NEPA) documentation ....

Exemption 4.5 - *The evaluation of NEPA documents is performed by a specific group within the Environmental Protection Division and is not the responsibility of the participant.*

**Example Competency and Equivalency Justification Statement**

Competency 1.2 -A senior technical safety manager shall demonstrate the ability to acquire and administer financial, material, and information resources.

Equivalency 1.2 - *Two years of directly related on-the-job experience gained while serving as environmental manager at the Fernald Project, which included serving as the contracting officer's representative (COR) for the remedial investigation/feasibility study (RI/FS) contract, a \$20+ million per year program. Responsibilities included management of the environmental restoration and waste management programs including direct responsibilities for development, justification and management of implementation of the RI/FS budget. Successful performance in this position is evidenced by the "outstanding" performance appraisal for the period ending June 1991.*

**TECHNICAL QUALIFICATION PROGRAM MANUAL - Revision 1**  
**A Desktop Reference for Supervisors and Participants**

**APPENDIX B**

**ABBREVIATIONS AND ACRONYMS**

CHRIS	Corporate Human Resource Information System	NNSA	National Nuclear Security Administration
DNFSB	Defense Nuclear Facilities Safety Board	OFS	office/facility-specific
DOE	Department of Energy	ORO	Oak Ridge Operations
ES&H	Environment, Safety, and Health	PFA	primary functional area
ESS	Employee Self Service	Panel	FTCP Panel
FAQS	functional area qualification standard	SFA	secondary functional area
FR	Facility Representative	STSM	Senior Technical Safety Manager
FTCP	Federal Technical Capability Program	TDG	Training and Development Group
HR	Human Resources (Division)	TQP	Technical Qualification Program
IDP	individual development plan	TQR	technical qualification record
ISM	Integrated Safety Management	YSO	Y-12 Site Office

**TECHNICAL QUALIFICATION PROGRAM MANUAL - Revision 1**  
**A Desktop Reference for Supervisors and Participants**

**APPENDIX C**

**ORO POLICY ON STAFF INVOLVEMENT WITH TECHNICAL ORGANIZATIONS AND SOCIETIES**

ORO management actively supports employee participation in preparing and presenting technical papers and related materials at technical conferences and meetings, within the limitations of available resources. Further, this participation will be factored into employee development plans and other personal development activities, as appropriate. Participation can cover such activities as attendance of selected technical conferences, presentations of technical papers (including preparation time for these papers), serving on professional and technical committees, or contributing in some other manner to national technical organizations.

**TECHNICAL QUALIFICATION PROGRAM MANUAL - Revision 1**  
**A Desktop Reference for Supervisors and Participants**

**ATTACHMENT**

**ORO TECHNICAL QUALIFICATION PROGRAM PLAN**

**A. General**

1. The Oak Ridge Operations (ORO) Deputy Manager for Operations is responsible for implementation of the Technical Qualification Program (TQP). (See the note regarding the Y-12 Site Office at end of this Plan.)
2. TDG provides reports on TQP status to ORO management, the ORO Federal Technical Capability Program (FTCP) Panel and, as necessary, to the DOE FTCP Panel.
3. TDG supports and assists line management in identifying training courses for meeting qualification requirements. TDG arranges for technical training based on training needs survey and requests from employees.
4. TDG assists line managers in development of office/facility-specific (OFS) qualification standards that build upon the requirements of the General Technical Base Qualification Standard and functional area qualification standards (FAQSs).
5. Employees participating in the TQP are expected to make steady progress toward qualification, and complete the program within 18 months.

**B. Identifying personnel and positions required to participate in the Technical Qualification Program**

1. ORO managers select program participants and submit a TQP Assignment and Due Date Memo to TDG that includes each participant's name, primary and secondary functional areas, and applicable OFS qualification standards.
2. Based on this information from senior line management, TDG provides instructions to the participants for the development of a technical qualification record (TQR) that documents the competency exemptions, equivalencies, developmental activities, and completion. In particular, TDG offers individual or group instruction on the use of the TQP component of the Employee Self Service (ESS) system, which enables DOE employees to view their own payroll, personal and training information and update certain information on the Internet. ESS can be accessed through the TDG web site, "Other Sites." Participants should refer to the ESS Competency Data Entry Guidance.
3. Supervisors notify TDG of changes in staff participation and FAQS assignment changes.
4. TDG updates the TQP database for the affected individuals.

**C. Identifying and maintaining technical qualification standards**

**TECHNICAL QUALIFICATION PROGRAM MANUAL - Revision 1**  
**A Desktop Reference for Supervisors and Participants**

1. Identification and Maintenance of Standards

- a. ORO management appoints subject matter experts to participate in the development or revision of DOE-wide general and functional area qualification standards.
- b. ORO, with local subject matter experts, develops and revises the OFS standards. These standards are established using the systematic approach to training methodology and include the necessary basic technical knowledge; technical discipline competency requirements; and position-specific knowledge, skills, and abilities. All OFS qualification standards are approved by the ORO FTCP Panel.
- c. Qualification standards must contain the following:
  - general duties and responsibilities associated with the position,
  - background and experience in terms of preferred education and experience,
  - a list of the technical competencies that define the level of expected performance, with supporting knowledge and/or skill statements provided as guidance to describe the intent of the competency statements, and
  - continuing training and proficiency requirements.

2. Using the Standards

- a. The General Technical Base Standard is required of all participants. Participants complete all General Technical Base competencies. This way, the technical staff have a common base of skills and knowledge.
- b. An FAQS must be selected by the participant as a primary functional area (PFA). Although optional, a secondary functional area (SFA) may be appropriate for many participants.
- c. OFS qualification standards are required by ORO for all participants. The following aspects apply to the development of these standards:
  - Operations/program offices develop
  - Competencies that build upon the department qualification standards
  - Competencies not covered by the General Technical Base and FAQSs
  - May be considered unique for a participant's job assignment at his/her facility/office
- d. Other professional standards, such as American Nuclear Society and American Society of Mechanical Engineers standards, may be used to tailor office or job position standards. The resulting standards must be formatted consistent with existing TQP standards.

**D. Evaluating employees against qualification standards and fulfillment options**

For each selected competency, the supervisor and the participant determine how that competency will be fulfilled. If the competency is not applicable to the position, then an exemption is requested. If the competency has already been fulfilled by experience or previous training, for example, then the documentation to support that equivalency must be assembled and submitted for approval. All other selected competencies must be fulfilled with a developmental activity. The following

**TECHNICAL QUALIFICATION PROGRAM MANUAL - Revision 1**  
**A Desktop Reference for Supervisors and Participants**

information describes these three fulfillment options, in addition to requests for extensions of qualification period.

1. Exemptions

- a. Exemptions are based on the individual's job assignment and whether overall development would be enhanced by completing the competency.
- b. Typically, exemptions are given for competencies that do not apply to one's job assignment. This applies to competencies in the FAQs and OFS qualification standards.
- c. Exemptions require a justification statement (see Appendix A of the *ORO Technical Qualification Program Manual* for an example of an acceptable justification). Exemptions shall be documented and approved one level above the individual's immediate supervisor.

2. Equivalencies

- a. Equivalencies are approved only after the individual has produced satisfactory, objective evidence of having met the competency through previous training, education, or experience.
- b. The participant assembles and compiles an evidence file for review by the supervisors approving the equivalencies.
- c. The equivalency shall be documented and approved one level above the individual's immediate supervisor. The equivalency shall be approved based only on justifications (see Appendix A of the *ORO Technical Qualification Program Manual* for an example of an acceptable justification) supported by objective evidence. Objective evidence for justifying equivalencies could include:
  - Formal training documentation/records
  - Course completion certificates
  - University/college transcripts or grade reports
  - Professional licenses/certificates/registrations
  - Examination results
  - Performance appraisals
  - Work products
  - Position descriptions
  - Course syllabus for completed courses
  - In-depth interviews
  - Attestations
  - Performance appraisals
  - Walk-throughs/walkdowns
  - Position description and statement of time on the job
  - Publications authored
  - Feedback from customers
  - Work products

**TECHNICAL QUALIFICATION PROGRAM MANUAL - Revision 1**  
**A Desktop Reference for Supervisors and Participants**

- d. Formal documentation of equivalencies shall be included as part of the individual's training and qualification record.

### 3. Developmental Activities

- a. Activities that will lead to the completion of the competency include, for example:
  - on-the-job training
  - self-study
  - training course
  - mentoring
  - college course
- b. Participants and supervisors should consult with TDG during the selection of developmental activities.
- c. Restrictions

It is very important that the supervisor and participant select the appropriate fulfillment activities for the competencies associated with the participant's position. Once developmental activities are selected and a schedule for completion determined, changing a developmental activity designation to an equivalency or exemption requires review and approval by the ORO FTCP Panel.

### 4. Evidence

The evidence file and signed ESS reports are forwarded to TDG for tracking and filing in the individual's training file.

### 5. ORO Process for Extensions of Qualification Periods

- a. Normal Qualification Period
  - Everyone is expected to complete qualifications within 18 months.
  - Training (i.e., TDG) tracks status and notifies AM, Division Director, and local FTCP Panel 60 days prior to end of period.
- b. 30 Days before Normal Qualification Period Expires
  - If an extension is needed, the Approving Authority must provide a justification to the local FTCP Panel for an automatic 90-day extension.
  - The justification must explain why the Approving Authority has confidence in the new completion date.
  - TDG tracks and reports status to the local FTCP Panel.

## **E. Establishing and updating individual development plans, training plans, qualification cards, or related records to document learning activities**

### 1. Documentation

**TECHNICAL QUALIFICATION PROGRAM MANUAL - Revision 1**  
**A Desktop Reference for Supervisors and Participants**

- a. Participants enter equivalency, exemption, developmental activity justifications and other information in the Employee Self Service (ESS) web application.
- b. Printed copies of ESS reports and supporting documentation are sent to the participant's supervisor. The supervisor reviews the qualification materials and, by signature, concurs that equivalencies and exemptions are adequately justified for competency and that developmental activities are approved. The supervisor may request an SME to serve as a qualifying official to assist in this evaluation process.
- c. The signed qualification materials are sent to the Training and Development Group (TDG) for entry in the DOE database, CHRIS, and for filing in the participant's technical qualification record (TQR) in the Training Center.
- d. After review of the qualification records, TDG prepares a certificate of completion for the participant. The certificate is signed by the ORO Manager and presented to the participant by his or her supervisor.

## 2. Continuing Training

- a. TQP continuing training activities are documented annually in the Individual Development Plan (IDP).
- b. Supervisors or qualifying officials review and approve planned continuing education on activities and the successful completion of activities.

## 3. Requalification or Change in Qualification Status

- a. Requalification – Only Facility Representatives are required to requalify (at an interval of every three years).
- b. Change in qualification status – A change in qualification status may be the result of:
  - New job responsibilities that were not covered in initial qualification.
  - New position assignment.
  - Promotion to an STSM position.
  - Transfer to another site or detail over 90 days.
  - New requirements for qualification.
- c. If the change does not require a new position number, the additional competencies are added to the ESS record. Competency justifications and other information are entered by the participant. The printed reports are signed by the supervisor and forwarded to the TDG for entry in CHRIS and filing in the TQR.
- d. If the change in qualification status is due to assignment to a new position in the TQP, the

**TECHNICAL QUALIFICATION PROGRAM MANUAL - Revision 1**  
**A Desktop Reference for Supervisors and Participants**

new position's competencies are added to the participant's record. Competency information is entered as described in 1 a. and b.

4. Tracking and Reporting

- a. As participants complete their competencies, they update their ESS TQP records and transmit to TDG the documentation to support the completion of the associated competencies.
- b. TDG updates the CHRIS TQP database accordingly, files the information in the individuals' TQRs.
- c. TDG is required to report periodically on participants' qualification progress and program status to the ORO and DOE FTCP Panels. In addition, TDG reports to ORO management as needed to allow monitoring of each organization's progress.

**F. Applying evaluation requirements for completing the technical qualification standard, e.g., written or oral examinations**

1. Evaluation of Competency Completion

- a. The supervisor is responsible for evaluating the individual's knowledge or performance for a competency, particularly if the competency fulfillment had not been formally evaluated (e.g., by passing a course examination).
- b. Supervisors may delegate subject matter experts to be used as qualifying officials to evaluate an individual for completion of competencies.

2. Evaluation Methods

- a. The supervisor, or another individual (such as a qualifying official) designated by the supervisor, will evaluate an employee using any of the following:
  - oral evaluation (e.g., discussion, questioning, and walk-through)
  - performance demonstration
  - written examination
- b. The person conducting the evaluation should refer to the supporting knowledge and skills listed for each competency in the qualification standards. These knowledge and skill statements can easily be converted to a question or performance activity.
- c. TDG will assist the supervisor in selecting, implementing, and documenting the appropriate evaluation method.

3. Remedial Activities

- a. If a participant does not satisfactorily complete a course, examination, evaluation, or other activity, remedial activities should be completed and documented.

**TECHNICAL QUALIFICATION PROGRAM MANUAL - Revision 1**  
**A Desktop Reference for Supervisors and Participants**

- b. TDG will assist the supervisor in selecting, implementing, and documenting the appropriate remediation activity.

**G. Implementing continuing training and requalification programs**

1. Continuing Training and Maintenance of Proficiency

- a. Personnel who complete applicable qualification requirements must continue their professional development and maintain proficiency through participation in continuing training, education, job rotations, and other similar activities.
- b. Continuing training activities specified in the FAQs, as well as any required by OFS qualification standards, can be identified in the Individual Development Plan (IDP). Further, revisions to FAQs will likely yield new or updated competencies that should be added to a participant's continuing training plan.
- c. When individuals are assigned new or revised competencies from any qualification standard, TDG must be notified so the ESS TQP can be updated. Completion of these new competencies is handled by the same process used for original competencies.

2. Requalification

- a. Facility Representatives are the only staff required to requalify.
- b. Facility Representative program procedures, standards, and manuals contain the requalification requirements and activities for Facility Representatives.

NOTE: The Y-12 Area Office changed its name to the Y-12 Site Office (YSO) in June 2002, and opted to not participate in the ORO FTCP Panel and associated activities; however, TDG continues to provide assistance on a case basis, in accordance with the *Service Arrangement between Oak Ridge Operations and the Y-12 Site Office, National Nuclear Security Administration*.