
U.S. DEPARTMENT OF ENERGY
OFFICE OF ENVIRONMENTAL MANAGEMENT



Senior Technical Safety Manager/Advisor
(STSM/A)
Program Procedures
Rev. 1
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Office of Management and Information
Office of Resource Management

APPROVAL

The Office of Environmental Management (EM) Office of Resource Management (EM-7.1) is responsible for overseeing the EM Technical Capability Program (TCP) and the subset Senior Technical Safety Manager/Advisor (STSM/A) Program. The Principal Deputy Assistant Secretary for EM has final approval authority for all internal EM documents related to the TCP and STSM/A Program.

Approval of this Procedure by the appropriate Principal Deputy Assistant Secretary is indicated by signature below.

James M. Owendoff,
Principal Deputy Assistant Secretary for
Environmental Management

Date

**Senior Technical Safety Manager/Advisor Program Procedures
for
The Office of Environmental Management Headquarters**

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1. PURPOSE

The intent of the EM Senior Technical Safety Manager/Advisor (STSM/A) Program is to implement the requirements of DOE's *Handbook for Senior Technical Safety Manager Positions*, March 1999, herein referred to as the Handbook.

2. APPLICABILITY

This procedure applies to positions, approved and maintained by the Executive Secretary to the Federal Technical Capability Panel (Panel), defined as EM Headquarters STSM positions. Participation is mandatory for persons holding STSM/A positions. If an incumbent does not qualify under the STSM/A Program, the Handbook requires a compensatory or alternative measure to be put into place for any technical aspects of safety-related decisions that could impact operations at defense nuclear facilities. The STSM/A Program assumes that incumbents in the STSM/A program met the qualification requirements established in the OPM Qualification Standards Operating Manual when they were hired.

3. REFERENCES AND DEFINITIONS

a. References

- i. DOE Order 360.1A, *Federal Employee Training*, September 1999.
- ii. DOE Manual 360.1A-1, *Federal Employee Training Manual*, September 1999.
- iii. DOEs, *The Handbook for Senior Technical Safety Manager Positions*, March 1999.
- iv. Defense Nuclear Facilities Safety Board (DNFSB) Recommendation 93-3, *Improving DOE Technical Capability in Defense Nuclear Facilities Programs*, June 1993.
- v. DOE Revised Implementation Plan for Defense Nuclear Facilities Safety Board (DNFSB) Recommendation 93-3, *Improving DOE Technical Capability in Defense Nuclear Facilities Programs*, May 1998.
- vi. *Environmental Management Technical Capability Program Implementation Plan*, December 1998.

b. Definitions

- i. DOE Functional Area Qualification Standards (FAQS) - A list of duties, responsibilities, competency statements, and supporting knowledge and skill statements that are specific to a technical functional area that provides technical management, oversight, or operation of a defense nuclear facility. These qualification standards build on the competencies established in the technical base qualification standards and are based upon a functional analysis of general position requirements and accepted practices. The Assistant Secretary for Human Resources and Administration is responsible for coordinating the development and maintenance of the Department-wide technical specialist qualification standards.
- ii. DOE General Technical Base Qualification Standards (GTBQS) - Specific knowledge and skill requirements (categorized in topical areas) based upon related industry practices and management direction. The Assistant Secretary for Human Resources and Administration is responsible for coordinating the development and maintenance of the technical-base qualification standards. The GTBQS consists of competency statements in eight fundamental technical areas. Completion of these requirements helps to ensure that participants are prepared to meet the next level of competency requirements contained in the Function Area Qualification Standards.
- iii. Exemptions - An exemption is a written release from the requirement to meet a competency prescribed in a qualification standard. Qualification exemptions may be granted when the candidate does not need the skills or knowledge associated with a specific competency in order to carry out his/her duties and responsibilities assigned to the position. Exemptions are requested by the supervisor and approved by one level above a participant's immediate supervisor and are part of the participant's technical capability record.
- iv. Equivalencies - Satisfactorily meeting a specific competency through prior training, education, or experience that provide knowledge, skill, and ability of equal value to that acquired by training or other learning activities. Equivalencies are requested by the supervisor and approved one level above the participant's immediate supervisor, and are part of the participant's technical capability record.

- v. Office-Specific Standard (OSS) - A list of duties, responsibilities, competency statements, and supporting knowledge and skills specific to an individual office and/or facility. The standard is developed and approved by office management. This qualification standard is built on the assigned DOE FAQs and is based upon an analysis of specific requirements associated with the position.
- vi. Senior Technical Safety Manager Qualification Standard (STSMQS) - Functional Area Qualification Standard required to be the primary selection of qualification standards for senior technical safety managers.
- vii. Technical Capability - The process used to determine whether personnel performing oversight of defense nuclear facilities possess the necessary knowledge, skills, and abilities to effectively perform their specific duties and responsibilities.
- viii. Technical Capability Record (TCR) - The documentation of competency statement exemption, equivalency, or completion for a TCP participant.
- ix. Technical Employee Capability Recordkeeper (TECR) - The database application used by: participants to document their TCR and see their progress; supervisors to review and approve their staff's progress through the program; and administrators to provide high level detailed summary reports.

4. RESPONSIBILITIES

a. Assistant Secretary, Office of Environmental Management shall:

- i. Have overall responsibility for assuring implementation of this procedure.
- ii. Take responsibility for completing the STSM/A program requirements.
- iii. Delegate oversight responsibility to the EM capability agent to the Federal Technical Capability Panel (Panel).

b. Office of Environmental Management Capability Agent shall:

- i. Be the liaison between EM and the Panel for all STSM/A activities.
- ii. Coordinate program activities with the Director of the Office of Resource Management (EM-7.1) to manage and administer the STSM/A Program.

- c. Deputy Assistant Secretaries in the STSM/A Program shall:**
 - i. Take responsibility for completing the STSM/A Program requirements.
 - ii. Direct his or her Associate Deputy Assistant Secretary to be the incumbent in the STSM/A Program if they choose not to participate or do not qualify as a STSM/A him or herself.
 - iii. Recommend a compensatory measure with EM-1/2 approval if neither senior level executives are qualified to make technical safety related decisions impacting defense nuclear facilities.

- d. Office Directors and/or Site Leads in STSM/A positions shall:**
 - i. Take responsibility for completing the program requirements.
 - ii. Recommend a compensatory measure with EM-1/2 approval if he or she is not qualified to make technical safety related decisions impacting defense nuclear facilities.

- e. Office of Resource Management (EM-7.1) shall:**
 - i. Administer the STSM/A Program for the Office of Environmental Management.
 - ii. Maintain STSM/A enrollment, status reporting, and statistics and provide reports, as needed, to EM-1, Deputy Assistant Secretaries, the Office of Management and Administration (MA), and the Panel.
 - iii. Provide input to updates of documentation relating to the Departmental STSM Program.

 - i. Maintain and upgrade the Technical Employee Capability Recordkeeper (TECR) data base for documenting incumbents' TCRs.
 - ii. Assist incumbents in identifying learning activities for STSM/A qualification.
 - iii. Acquire training and education opportunities that will assist STSM/A incumbents in meeting the requirements of the program.

 - vii. Facilitate the acquisition of subject matter experts to serve as peer panel members for reviewing and approving incumbents' TCRs.

- viii. Coordinate peer panel interviews with interimly qualified STSM/A incumbents.

f. Peer Panel(s) shall:

- i. Review and approve/disapprove incumbents' STSM/A qualification packages and subsequent TCRs.
- ii. Interview interimly qualified STSM/A incumbents.
- iii. Provide results of the STSM/A interviews to EM-7.1 with recommendations for a path forward for each incumbent.

Who/What/When/Why/How

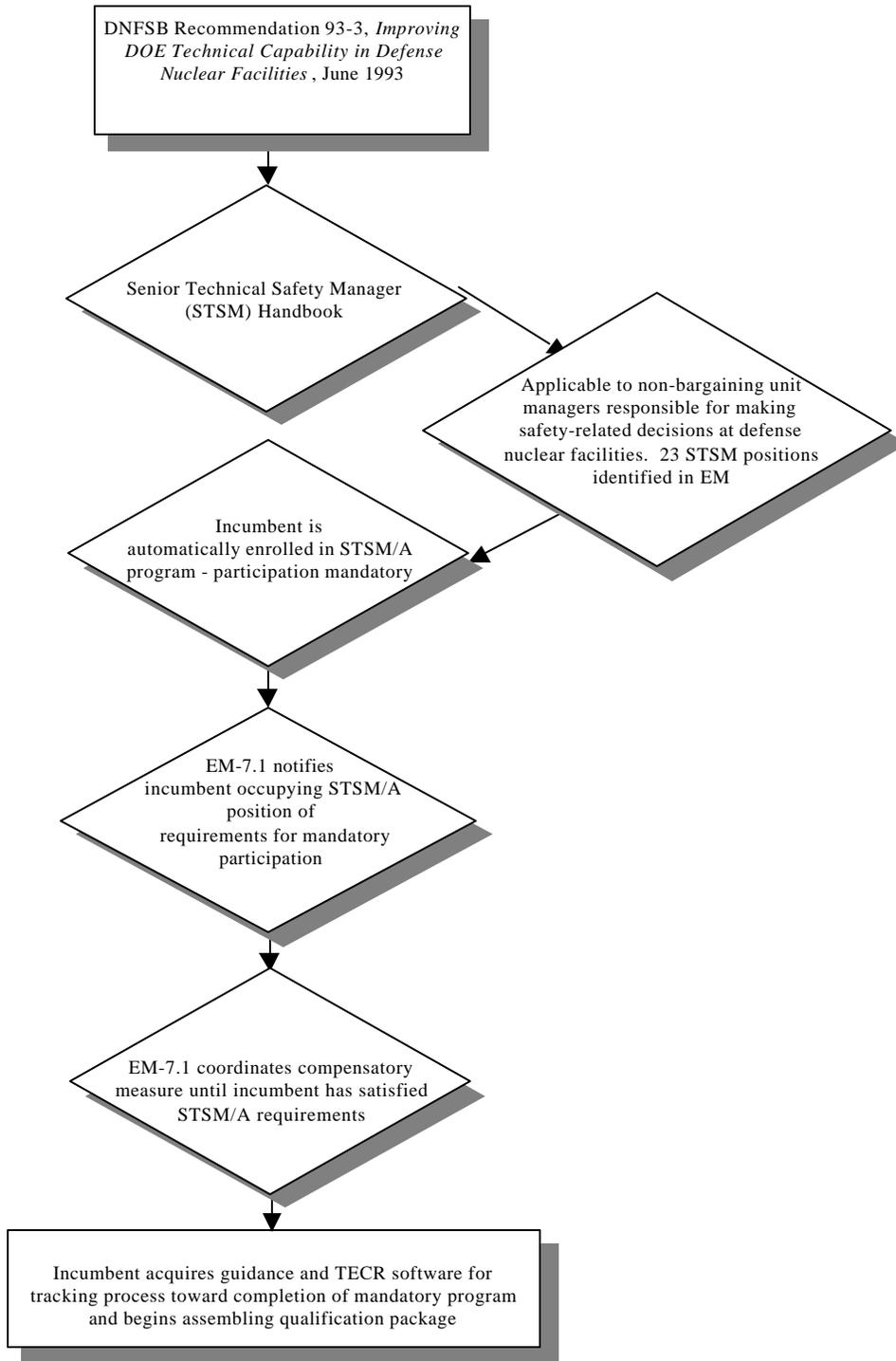


Figure 1

5. GENERAL REQUIREMENTS

- a. Incumbents holding STSM/A positions will have already met the requirements of the STSM/A program or will meet the entry requirements as stated in their position description.
- b. All qualification equivalencies and exemptions to the requirements of the qualification standards, at a minimum, shall be documented and approved by the peer panel, although there should be no exemptions to the STSM/A and STSM/A Office Specific Standards (OSS).
- c. Incumbents who complete the STSM/A qualification requirements shall receive a certificate of completion from EM-7.1.
- d. Participants who obtain qualification will continue their professional development through participation in continuing training, education, field experiences, job rotations and related activities that meet specific learning objectives as defined in the qualification standards and Individual Development Plans.

6. PROCEDURE

- a. **Enrollment in the Senior Technical Safety Manager/Advisor (STSM/A) Program**
 - i. Program Structure: The foundation of the program relies on the pyramid shown in The STSM/A Qualification Standards Hierarchy in Figure 2 which illustrates the hierarchy of qualification standards required by the STSM program. All STSM/A incumbents are required to meet the challenge of the levels of qualification requirements, which are described.
 - (4) *General Technical Base Qualification Standard (GTBQS)* - Specific knowledge and skill requirements (categorized in topical areas) based upon related industry practices and management direction. *All* incumbents are required to meet the GTBQS.
 - (5) *Modified General Technical Base Qualification Standard (MGTBQS)* - In addition to the GTBQS, EM will have EM-specific competencies (i.e. "Paths to Closure," "Integrated Planning, Accountability, and Budgeting System (IPABS)," etc.). Currently EM does not have a set of MGTBQS, but will have in the near future. *All* incumbents will be required to meet the MGTBQS when they are available.

- (6) *DOE Senior Technical Safety Manager Qualification Standard*
(STSMQS)- All incumbents are required to qualify under the STSM

Standard
and shall
select
the
STSM
Qualification
Standard
as their

primary standard. The STSM Qualification Standard is one of the DOE Functional Area Qualification Standards (FAQS) which are generally described in (7) below.

- (7) *DOE Functional Area Qualification Standards (FAQS)* - A list of duties, responsibilities, competency statements, and supporting knowledge and skill statements that are specific to a technical functional area that provides technical management, oversight, or operation of a defense nuclear facility. Incumbents may choose to select one or more secondary FAQS, but shall concentrate on completing the GTBQS, MGTBQS, and STSMQS first.
 - (8) *EM Modified Functional Area Qualification Standards (MFAQS)* - Functional Area Qualification Standards that will suit Headquarters functions. Conceptually, the standards will be less technical and more programmatic in nature, and will supplement the Departmental FAQS. Currently EM does not have a set of MFAQS, but will have in the near future. Incumbents who select secondary FAQS will also be required to meet the qualifications of the supplemental MFAQS when they are available.
 - (9) *EM Office-Specific Standards (OSS)* - A list of duties, responsibilities, competency statements, and supporting knowledge and skills specific to an individual office. EM is in the process of developing the OSS, and they will be available in the near future. STSM/A incumbents will be required to meet the STSM/A OSS, and a programmatic OSS, if one exists for his or her office when they are available.
- ii. Enrollment: Persons occupying STSM/A positions are required to participate in the STSM/A program and are, therefore, enrolled when they begin occupying the position.

b. Qualification Package

STSM/A incumbents are required to submit a qualification package that demonstrates their technical competence. The STSM/A qualification package consists of two parts: background material that illustrates experience and education, and a self-evaluation to be documented in TECR¹. Figure 3, Qualification Package Process and Content Requirements, illustrates how to assemble a qualification package for the STSM Program, and is described here.

¹TECR is an application used to administer TCP participants' Technical Capability Records (TCR.), and track individual and organizational progress. There is a separate user's manual issued to each participant when they enter the program.

- i. **Background Material:** Background material includes the following: position description (for the position occupied, not position of record), resume or SF-171/OF-615, training records, and college transcripts.
 - (1) Participant is required to gather all background material and submit along with self-evaluation to EM-7.1 who will coordinate peer panel review.

STSM/A Program Qualification Standards Hierarchy

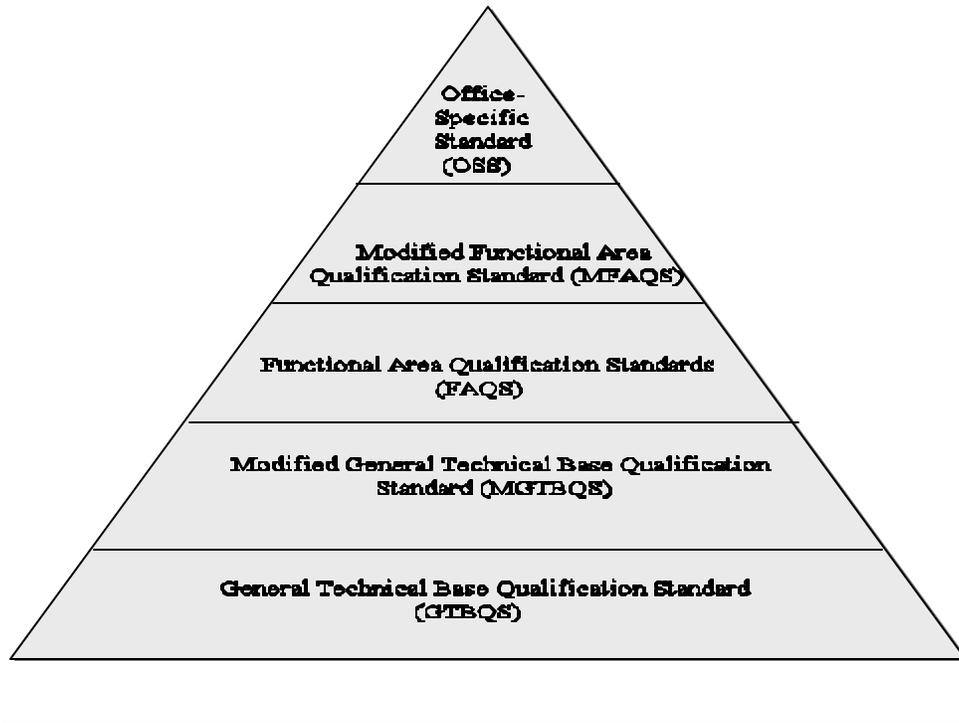


Figure 2

- ii. Self-evaluation: The self-evaluation is a measure of the incumbent's experience, training, and education against the required qualification standards as described in section 6.a of this procedure. The TECR application is designed to guide the incumbent through the self-evaluation process and create the incumbent's TCR, a requirement of the program. The TCR is the measure of the incumbent's technical competence against the STSM/A requirements.
- (1) Participant addresses each competency within each qualification standard. Note: The Knowledge, Skills, and Abilities (KSAs) associated with each competency are *suggestions*, not *requirements*. The following is the self-evaluation process and criteria to be documented in TECR:
- (a) Work first on the GTBQS and MGTBQS under development (where available).
 - (b) Select the first competency in the GTBQS (1.1).
 - (c) Select one of the three choices available for the competency:
 - (i) *Exempt* because:
 - 1) Competency statement not applicable to my position,
 - 2) Competency was modified and will be fulfilled via my OSS, or
 - 3) Other - provide justification.
 - (ii) *Equivalency* because:
 - 1) Experience,
 - 2) Training or education completed, or
 - 3) Other - provide justification.
 - (iii) *Need Developmental Activities*:
 - 1) Mentoring,
 - 2) On-the-job training,
 - 3) Self-study,
 - 4) Training course, or
 - 5) Other
 - 6) You may select one or more developmental activities. For each learning activity selected, document your planned activities and projected completion dates, if known.
 - d) Repeat steps 6.(b) through (c)(iii)6) for all GTBQS competencies.
 - e) Repeat steps (b) through (c)(iii)6) for the MGTBQS under development (where available).
 - f) Repeat steps (b) through (c)(iii)6) for the primary STSM Qualification Standard.

- g) Repeat steps (b) through (c)(iii)6 for the secondary FAQs and MFAQS (where available) which consist of your specialty area (i.e., Waste Management).

c. Approval of Qualification Package

- i. Upon completion, submit package to your supervisor for approval in TECR. Once your supervisor has approved your package, EM-7.1 will forward it to a peer panel for review and approval.
- ii. The peer panel will forward their comments to EM-7.1.
- iii. The results will be given back to the incumbent and their supervisor by EM-7.1.
 - (1) *If package is approved*, proceed with completing the STSM/A Program as described in section 6.d.
 - (2) *If package is not approved*, revise the deficiencies as necessary as described in section 6.b of this procedure.
described in section 6.b of this procedure².

d. Developmental Activities

- i. Begin identifying learning activities that will meet competencies that “need developmental activities.” Consult with EM-7.1, as necessary, to assist in identifying learning activities.
- ii. Update the TCR in TECR to document the planned training.
- iii. Complete training.
- iv. Update TCR in TECR to document completed training, completion dates, and training hours.
- v. Repeat steps 6.d.i. through 6.d.iv. until all competencies for all qualification standards needing developmental activities have been completed.

e. Evaluation and Approval of Employee’s Technical Capability

- i. Notify supervisor of STSM/A Program Completion.
- ii. Supervisor will forward TCR to EM-7.1, who will coordinate with peer panel for approval.
- iii. Peer panel will forward approval/disapproval and/or comments to EM-7.1.
 - (1) *If peer panel does not approve*, employee must review the comments of the peer panel and attempt to correct deficiencies in steps 6.d.i through vii.
 - (2) If the peer panel determines that the incumbent is not technically capable of making safety related decisions at defense nuclear facilities, the compensatory measure will continue to be in effect.
 - (3) *If peer panel approves*, they will forward to EM-7.1 for final processing.

²A supervisor may not agree with employee’s exemption or equivalency reasons, and may require the employee to update the record to include more developmental activities. The employee is responsible for providing ALL required background material for evaluation purposes.

Qualification Package Process And Content Requirements

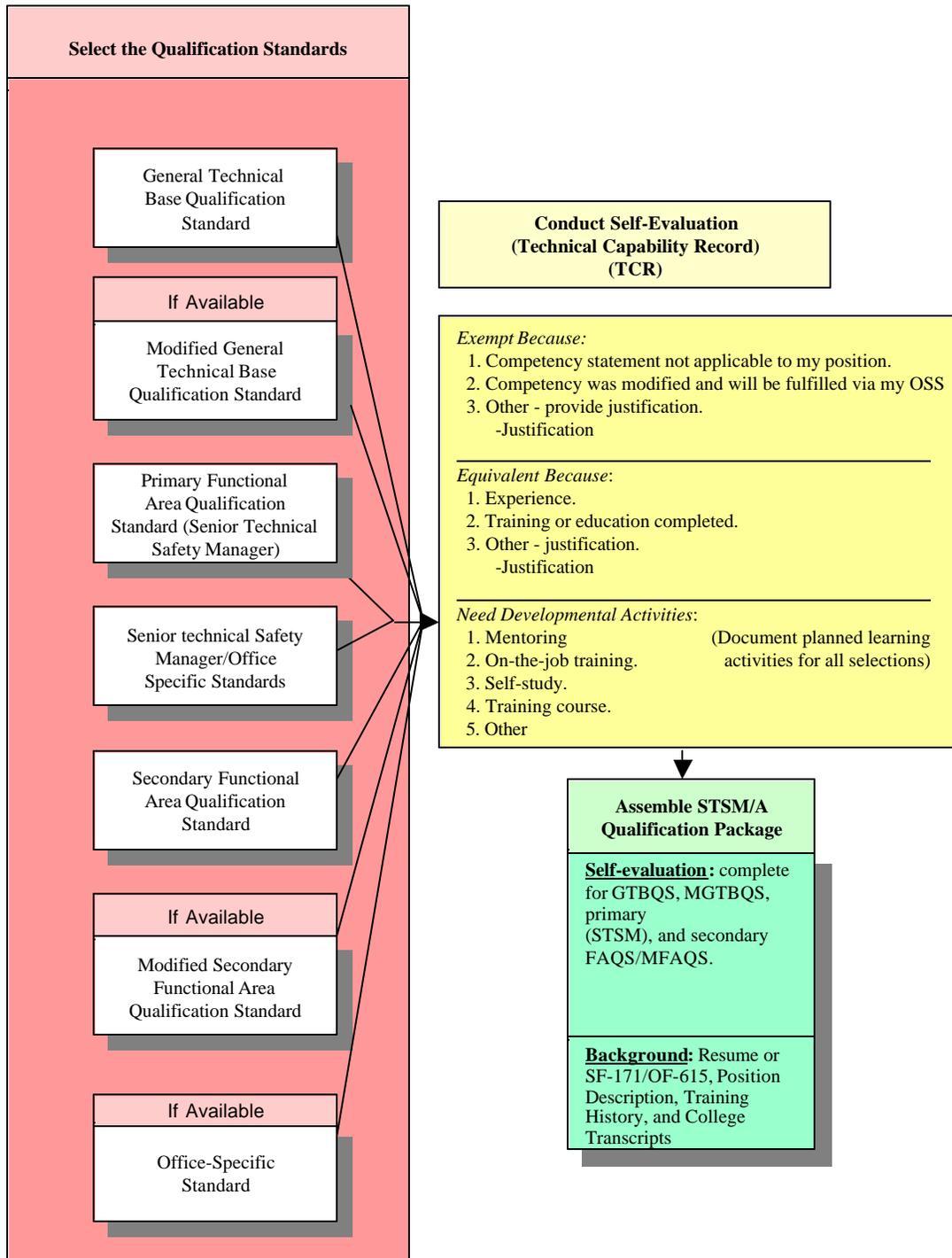


Figure 3

5. RECORDS

- a. Records will be maintained by EM-7.1 for the EM STSM/A participants. EM-7.1 will:
 - i. Administer and maintain incumbents' collective TCRs in the TECR application.
 - ii. Monitor, track, and record overall EM STSM/A progress.
 - iii. Not be allowed to alter TCRs. The administrator in EM-7.1 has read-only rights to incumbents' records.

- b. STSM/A incumbents will:
 - i. Maintain background documentation that includes their: position description; resume or SF - 171 OF-615; college transcripts; and training history, and provide a copy to EM-7.1.
 - ii. Update and maintain their own TCRs in the TECR application.

2. REPORTING

- a. EM-7.1 will:
 - i. Report overall progress on a periodic basis to EM-1 and the EM Capability Agent to the Panel as required.
 - ii. Roll up status reports and statistical reports for managing the program.
 - iii. Use the information in the records and reports in developing an annual training plan for EM.
 - iv. Provide EM-1, Deputy Assistant Secretaries, Office Directors, and supervisors their incumbents' respective summary or detailed reports as necessary.

STSM/A Completion Process Flow

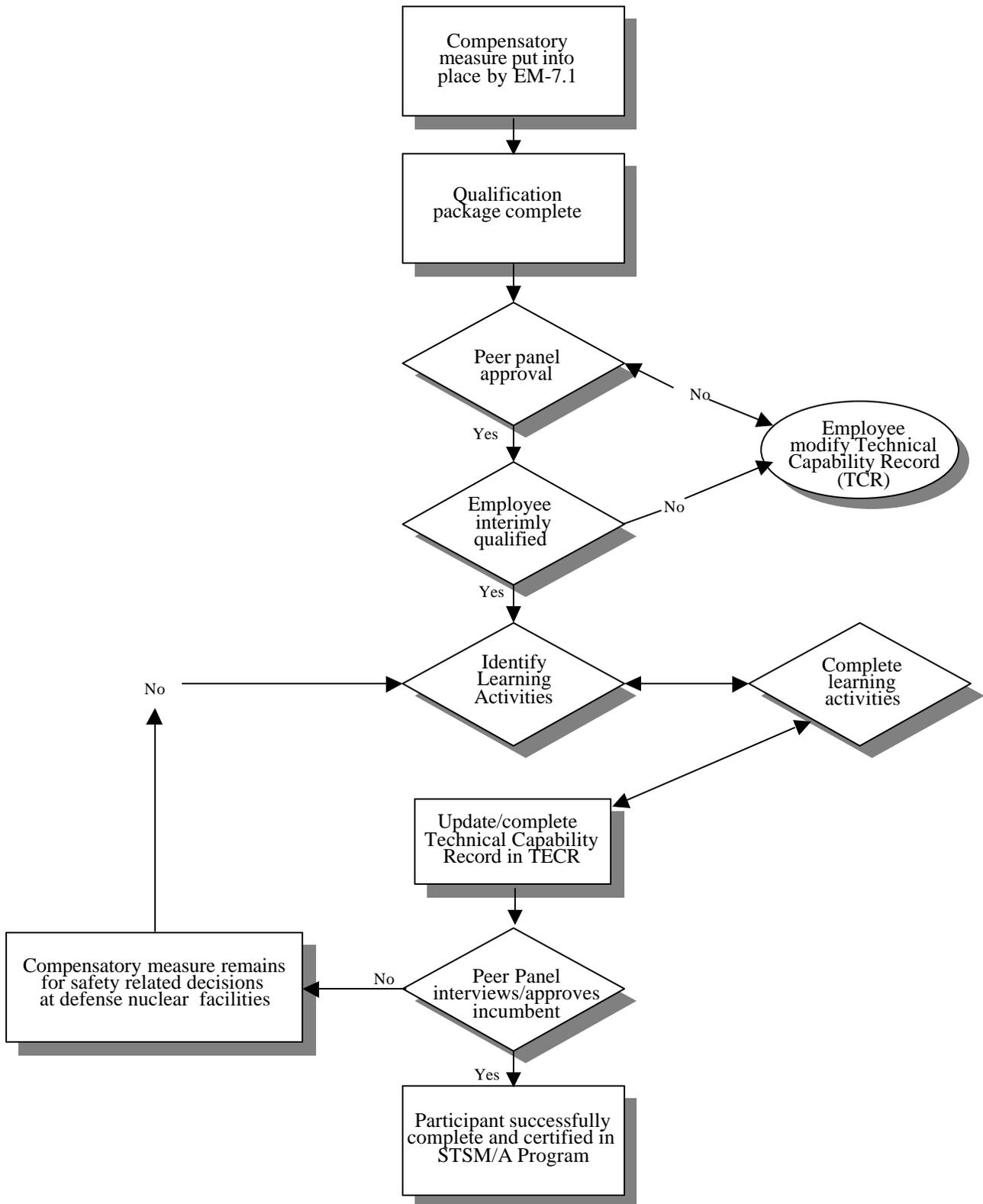


Figure 4