Department of Energy

Washington, DC 20585

MEMORANDUM FOR: STEVEN D. RICHARDSON
CHAIRMAN, FEDERAL TECHNICAL CAPABILITY PANEL

FROM: JAMES M. OWENDOFF James M. Owendoff
ACTING ASSISTANT SECRETARY FOR 12/17/98
ENVIRONMENTAL MANAGEMENT

SUBJECT: ENVIRONMENTAL MANAGEMENT TECHNICAL CAPABILITY PROGRAM IMPLEMENTATION PLAN

Attached, for your review, is the Office of Environmental Management's (EM's) Technical Capability Program (TCP) Implementation Plan (IP). The EM TCP IP was developed in accordance with the requirements of and is consistent with the Department of Energy's (DOE's) revised IP for Defense Nuclear Facilities Safety Board (DNFSB) Recommendation 93-3, *Improving DOE Technical Capability in Defense Nuclear Facilities Programs*.

In April 1996, EM implemented a formal Technical Qualification Program (TQP), and had enrolled and was tracking 50 Headquarters employees. However, the program was subsequently suspended for all bargaining unit employees due to concerns raised by the National Treasury Employees Union (NTEU), the sole bargaining representative of DOE Headquarters employees. As a result, EM was deficient in meeting one of the commitments the Department made to the DNFSB in the original IP for Recommendation 93-3. Since that time, the Department has issued a revised Recommendation 93-3 IP. The revised IP has provided the impetus and flexibility for EM to address the concerns of the NTEU while implementing a technical capability program for the EM Headquarters organization that would meet organizational needs, employees needs, and satisfy DNFSB commitments.

The EM TCP IP is the culmination of the work of the EM Technical Capability Program Implementation Team (TCPIT) which was chartered to design a meaningful program. The TCPIT includes members from each EM Headquarters organizational component and representatives from the NTEU. The IP incorporated comments and suggestions of the NTEU as well as the results of EM's Phase I Assessment. The EM TCP IP has also been evaluated against the results in the draft report on the Department's TQP which contains the results of all the Phase I Assessments conducted by DOE Headquarters and Field elements with defense nuclear facility responsibilities.

I have approved the EM TCP IP and we will now begin the implementation of the program as outlined in the IP. EM's Office of Training and Education will be responsible for its implementation. If you have questions, please contact Barry R. Clark, Acting Assistant Secretary for Management and Evaluation on (202) 586-1665 or Michael Kleinrock, Director of the Offices of Administrative Services and Training and Education on (202) 586-4604.

Attachment

Department of Energy

Washington, DC 20585

December 14, 1998

MEMORANDUM FOR: ELLIS MAUPIN, PRESIDENT, CHAPTER 213
NATIONAL TREASURY EMPLOYEES UNION

JOEL KRISTAL, PRESIDENT, CHAPTER 228
NATIONAL TREASURY EMPLOYEES UNION

FROM: MICHAEL KLEINROCK
ACTING DIRECTOR OF TRAINING AND EDUCATION
OFFICE OF ENVIRONMENTAL MANAGEMENT

SUBJECT: ENVIRONMENTAL MANAGEMENT TECHNICAL CAPABILITY PROGRAM IMPLEMENTATION PLAN

Attached, for your information, is the Office of Environmental Management's (EM's) Technical Capability Program (TCP) Implementation Plan (IP). I would like to express my appreciation for the participation of the National Treasury Employees Union (NTEU) on the EM Technical Capability Program Implementation Team (TCPIT). Your representatives provided valuable insights, comments, and suggestions which were incorporated into the IP. As a result, I believe that we now have a well defined program that will meet EM's organizational needs, employee's needs, satisfy DNFSB commitments, and address the issues previously raised by the NTEU.

The EM TCP has been determined to be mandatory for EM employees in positions identified as Senior Technical Safety Manager (STSM) positions, and for those employees in positions determined to be "critical" in the context of Defense Nuclear Facilities Safety Board (DNFSB) Recommendation 93-3, *Improving DOE Technical Capability in Defense Nuclear Facilities Programs*. None of these positions are bargaining unit positions, and therefore, no bargaining unit employee will be effected by the EM TCP. However, EM bargaining unit employees in technical positions may volunteer for the EM TCP. We will maintain training records and the other information for those employees volunteering for the TCP, the same as we do for those required to participate, for their future benefit. Because bargaining unit employees are not required to participate in the EM TCP, we believe our collective bargaining obligations have been met. As soon as the IP is approved by the Acting Assistant Secretary for Environmental Management, my Office will begin implementation of the program.

If you have any questions, please feel free to call me on 6-4606. If you would like a briefing on the program more than your representative has provided, please contact Alison Taylor in the Office of Labor and Employee Relations. Ms. Taylor will assist in scheduling the briefing.

Attachment

U.S. DEPARTMENT OF ENERGY

OFFICE OF ENVIRONMENTAL MANAGEMENT

Technical Capability Program
Implementation Plan

Office of Management and Evaluation
Office of Training and Education
December 1998

TABLE OF CONTENTS

EXECUTIVE SUMMARY

In April 1996, the Office of Environmental Management (EM) had implemented a formal Technical Qualification Program (TQP). EM had enrolled and was tracking 50 Headquarters employees. However, the program was subsequently suspended for all bargaining unit employees due to substantive concerns raised by the National Treasury Employees Union (NTEU), the sole bargaining representative of DOE Headquarters employees. As a result, EM was deficient in meeting one of the commitments the Department made to the Defense Nuclear Facilities Safety Board (DNFSB) in its Implementation Plan (IP) for Recommendation 93-3, *Improving DOE Technical Capability in Defense Nuclear Facilities Programs.*

Since that time, the Department has issued a revised Recommendation 93-3 IP. The revised IP has provided the impetus and flexibility for EM to address the concerns of the NTEU while implementing a technical capability program for the EM Headquarters organization that would meet organizational needs, employees needs, and satisfy DNFSB commitments. The EM Technical Capability Program IP is the culmination of the work of the EM Technical Capability Program Implementation Team (TCPIT) which was chartered to design a meaningful program.

1.0 INTRODUCTION

The Department of Energy (DOE) Implementation Plan (IP) for Defense Nuclear Facilities Safety Board (DNFSB) Recommendations 93–3, *Improving The Technical Capability In Defense Nuclear Facilities Programs*, and 92–7, *Training and Qualification*, was issued November 4, 1993, and accepted by the Board on November 5, 1993. Included in the DNFSB Recommendation 93–3 IP was the creation of a Technical Qualification Program (TQP). The TQP, which was implemented by DOE Order 360.1, *Training*, dated May 31, 1995, applies to DOE Federal technical employees performing activities related to the technical management, oversight or operation of defense nuclear facilities. The Order required participants to complete the program by May 31, 1998.

By April of 1996, the Office of Environmental Management (EM) had implemented a formal Technical Qualification Program (TQP). EM had enrolled and was tracking 50 Headquarters employees. On April 25, 1996, EM issued a memorandum suspending the development of Individual Development Plans (IDPs) and the TQP for all bargaining unit employees. This action was based on the impending negotiation between the DOE and the National Treasury Employees Union (NTEU) on the implementation of both the IDP Program and the TQP. On August 20, 1996, the DOE and NTEU signed a Memorandum of Understanding (MOU) in support of the continuation of the IDP process. The suspension was lifted by EM on September 11, 1996, however, the MOU did not affect the suspension of the TQP.

In 1997, EM implemented (and continues to implement) its Senior Technical Safety Manager/Advisor (STSM/A) program (a sub-set of the TQP). EM identified 24 positions, all of which were non-bargaining unit positions, for inclusion in the STSM/A program. The program was designed to meet an action taken by the Department during the joint DOE/DNFSB Off-Site Conference held in June 1996.

In a letter to the Secretary dated April 2, 1997, the DNFSB expressed concern that 40 percent of the DNFSB Recommendation 93–3 IP commitments had not been met. In response, the Secretary of Energy recommitted the Department to improve Federal technical capabilities in a letter to the Board dated May 5, 1998, which also forwarded the revised DNFSB Recommendation 93–3 IP. Included in the revised plan was the commitment to evaluate the existing TQP by conducting a Phase I Assessment, addressing identified problem areas, and modifying the program accordingly. In September 1998, EM completed its TQP Phase I Assessment, and in general, the assessment found that because of the suspension of the TQP, no program existed. The STSM/A program was generally found satisfactory, but additional work, including the need for written procedures, was necessary.

Even before the Phase I Assessment was completed, it was known that EM needed to implement a TQP. After the issuance of the revised DNFSB Recommendation 93-3 IP, EM formed a team, the Technical Capability Program Implementation Team (TCPIT), with members from each of the EM Headquarters program offices and the Office of Safety

and Health (EM-4). The NTEU is also participating on the Team. EM senior management has approved the Team's charter (Appendix A) which commits EM to design and develop a new, effective technical capability program for EM Headquarters employees . The ultimate long-term goal of the effort is to have an effective and efficient human resource development program for both technical and non-technical employees.

The responsibility for implementing DNFSB Recommendation 93-3 in EM was assigned to the Office of Management and Evaluation's (EM-10's) Office of Training and Education (EM-13). This IP, which was developed jointly by EM-13 and the TCPIT (and approved by the Acting Assistant Secretary for EM), defines the Technical Capability Program (TCP) for technical employees in the EM Headquarters organization.

2.0 OBJECTIVE

The objective of the EM TCP is to establish a formal program to enhance the technical capability of EM Headquarters professional personnel and to promote overall technical excellence in order to more effectively support the EM mission and better ensure the protection of workers, the public, and the environment. This objective is consistent with the Department's revised DNFSB Recommendation 93-3 IP which states:

> "The Department is determined to continue making improvements in the capabilities of the federal workforce and to fully utilize all of the tools at its disposal.
>
> The principles of the program are:
>
> - As stated in the Department's Integrated Safety Management Guiding Principles, federal personnel possess the experience, knowledge, skills, and abilities that are necessary to discharge their safety responsibilities;
>
> - Line managers are accountable and have the responsibility, authority, and flexibility to achieve and maintain technical excellence;
>
> - Supporting organizations (personnel, training, contracts, finance, etc.) recognize line managers as customers and effectively support them in achieving and maintaining technical capabilities; and,
>
> - An integrated corporate approach is required to assure that necessary technical capabilities and resources are available to meet the overall needs of the Department's defense nuclear facility missions."

The revised DNFSB Recommendation 93-3 IP allows for significant flexibility from the original program. The EM TCP utilizes that flexibility by permitting the adjustment at all

levels of standards to appropriately reflect competency requirements based on the work of a Headquarters organization. The TCP also addresses the need for the understanding of high level policy and direction, and the technical nature of the business. However, the EM TCP will preserve the Department-wide "standards" to ensure transportability should an EM Headquarters employee decide to take a position in another Departmental element (Headquarters or Field) covered under a TQP.

3.0 APPLICABILITY

The formal EM TCP is mandatory for EM Headquarters employees in STSM/A positions, and those occupying positions determined to be critical for purposes of DNFSB Recommendation 93-3. Those positions are listed in Appendix B. As part of the program of continuing evaluation of the effectiveness of the STSM/A program, organizational needs, and the identification of additional critical positions, those positions will be reviewed regularly for appropriateness in the program and some may be deleted, or others added.

The formal EM TCP will be voluntary for incumbents in all other technical positions (supervisory and staff) and not limited to incumbents in safety related positions in EM Headquarters. Voluntary participants can elect to withdraw from the program at any time. Ultimately, EM proposes that the TCP process be opened to EM Headquarters employees in non-technical positions and a new series of competency standards based on work requirements be established. The goal is to have a formal human resource development program for all EM Headquarters employees that will be based on the principals of the TCP and better tie training to the work being performed.

The EM TCP recognizes that participants in the program are qualified for the positions to which they were hired (based on OPM classification standards). The EM TCP is designed to provide EM employees with another "tool" for technical professional development. However, the program does not replace the formal IDP process as required in DE Order 360.1, *Training*. Both processes are complementary but the EM TCP will provide the necessary structure for a professional development program.

Employees choosing not to participate in the EM TCP will continue to have access to training through the existing IDP process. Regardless, participation in the EM TCP or through the IDP process is not a guarantee that training will be provided. Those decisions will be based on such factors as workload requirements, budget constraints, etc.

4.0 PROGRAM STRUCTURE

Whether EM Headquarters employees volunteer to participate in the EM TCP or whether it is mandatory based on the position he or she holds, the foundation of the program relies on the pyramid shown in Figure 1. Most importantly, it is understood that employees are deemed to be "qualified," when they are hired into Federal service as they have met the minimum requirements (education, background, and experience) under the Office of Personnel Management (OPM) regulations governing Federal hiring practices. The program is designed to build on the employees' qualifications by enhancing and further developing technical capabilities and the knowledge base required to perform their assigned work.

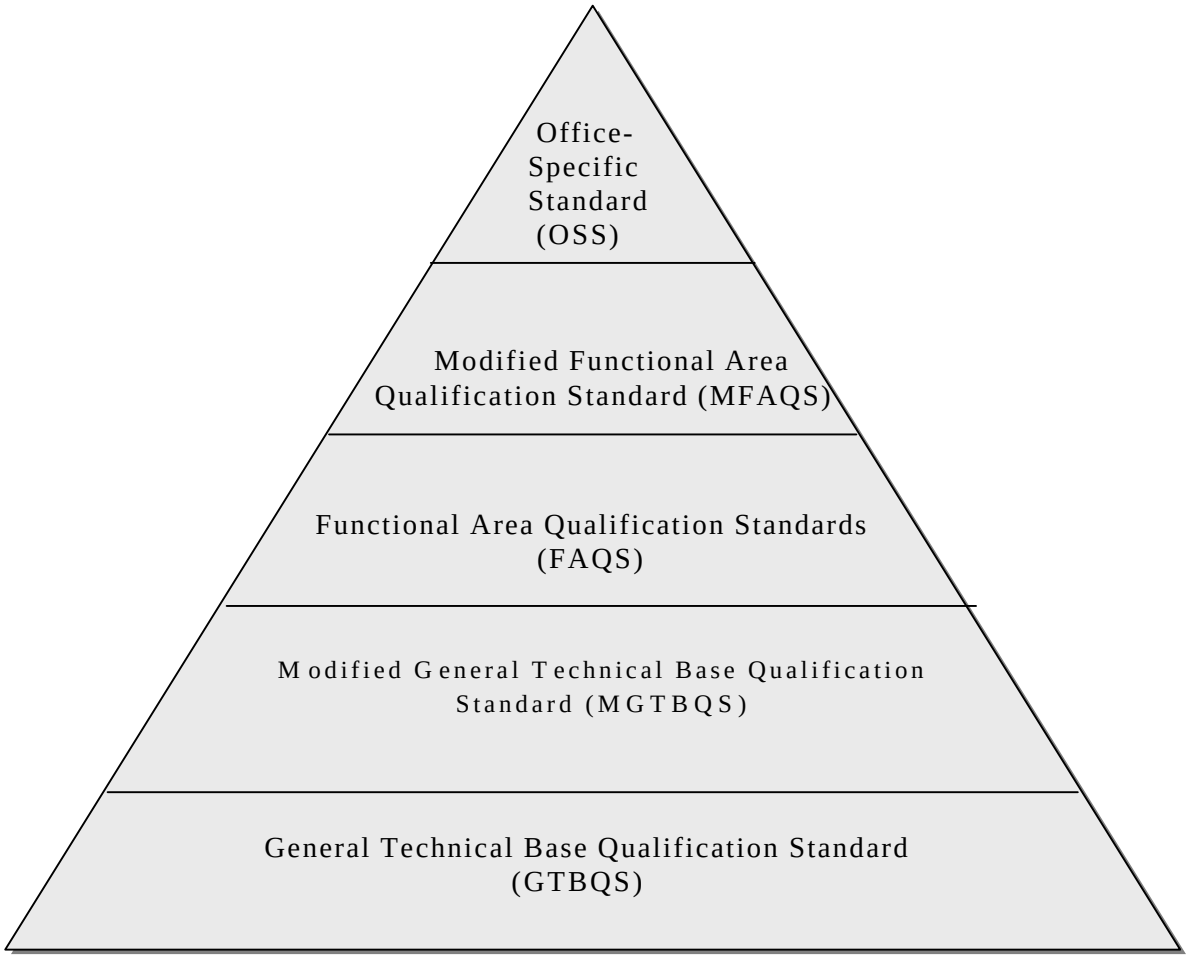

Figure 1

4.1 *General Technical Base Qualification Standard (GTBQS)* - Specific knowledge and skill requirements (categorized in topical areas) based upon related industry practices and management direction.

4.2 *Modified General Technical Base Qualification Standard (MGTBQS)* - It is anticipated that the GTBQS will be modified to include general competencies critical to EM Headquarters mission (e.g., "Paths to Closure," "Integrated Planning, Accountability, and Budgeting System (IPABS)," etc.).

4.3 *DOE Functional Area Qualification Standards (FAQS)* (see Appendix C) - 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.

4.4 *EM Modified Functional Area Qualification Standards (MFAQS)* - Functional Area Qualification Standards that will be modified to suit Headquarters functions. Conceptually, the standards will be less technical and more programmatic in nature.

4.5 *EM Office-Specific Standards (OSS)* - a list of duties, responsibilities, competency statements, and supporting knowledge and skills specific to an individual office.

These standards will be used as the guides for enhancing and improving the technical capability of EM Headquarters staff.

5.0 RESPONSIBILITIES

Inherent in the EM TCP are interpersonal relationships between employees and supervisors and the need for both to participate in many of the decisions needed to enhance and maintain employees' technical competence. Areas such as defining the work to be done, setting appropriate competencies needed to perform the work, and communication and feedback are all important for the program to succeed.

Table 1 outlines the responsibilities of the participants (supervisors and staff), immediate supervisors, senior managers, TCPIT members, peer panel, and EM-13, the organization charged with implementing the EM TCP.

Table 1

TCP Participants (supervisors and staff)	a. Select functional area qualification and discuss with supervisor. b. Gather documentation on training, certification, and education relevant to the Technical Capability Program. c. Conduct Self-Evaluation and discuss with supervisor. d. Develop Technical Capability Record (TCR). e. Submit TCR and documentation to peer panel for review/comment. f. Modify TCR, as necessary (with supervisor involvement), based on peer panel review. g. Identify learning activities and develop (with supervisors) IDPs. h. Participate in learning activities to satisfy and meet gaps in the baseline. i. Maintain progress of program in the TCP record keeping system. j. Provide objective evidence in the TCR of satisfactory completion in the TCP.
Immediate Supervisors	a. Assist in development of the Office-Specific Standards (OSS) and Modified FAQS. b. Discuss/approve selection of participant's MFAQS. c. Discuss Self-Evaluation justification for competency statements for exemptions and equivalencies. e. Assist in identifying learning activities for participants. f. Approve the IDPs, reflecting learning activities necessary to meet competency requirements. g. Ensure that participants update the automated records system. h. Submit office IDPs to EM-13 for roll-up/analysis. i. Evaluate TCP participants' progress toward completion of the capability requirements. j. Review, approve, and sign the TCR for personnel who have successfully completed the program.
EM DAS's	a. Designate, in writing, an individual who will serve as the point of contact (POC) for the program's implementation. b. Designate Subject Matter Experts (SMEs) who will evaluate qualification standards and assist in the development of MFAQSs and OSSs. c. Review and approve OSSs and MFAQS.
TCPIT Members	a. Assist in the development and implementation of the TCP for EM personnel. b. Assist in the development of the EM TCP Self-Assessments.
EM-13	a. Coordinate and issue MGTBQS, MFAQS, and OSSs. b. Assist participants in gathering training documentation. c. Provide advisory peer group to evaluate participants' self evaluations and TCRs. d. Maintain electronic database for tracking progress of participants. e. Prepare quarterly progress reports and provide statistics, as needed. f. Assist participants in identifying learning activities. g. Acquire and distribute learning activities for the TCP and IDPs. h. Analyze and roll-up IDP submissions for the Annual Training Plan. i. Develop Annual Training Plan for EM Headquarters.
Peer Panel	a. Review participant TCRs and documentation based on established criteria. b. Provide comments/recommendations to TCP participants and supervisors. c. Concur on final TCRs and submit to supervisor for approval.

6.0 TCP PROCESS

The process diagram, Figure 2, provides the generalized flow of activities for enrollees in the EM Headquarters TCP (voluntary and mandatory participants). Participants in the EM TCP are expected to complete the GTBQS, an appropriate FAQS, and his or her OSS. EM will follow a corporate approach in developing standards that are specific to EM Headquarters activities.

6.1 General Technical Base Qualification Standard (GTBQS)

All EM TCP participants will be expected to complete the GTBQS. The existing GTBQS will be modified to include knowledge and skill levels for activities such as "Paths to Closure" and "Integrated Planning, Accountability, and Budgeting System (IPABS)."

6.2 Functional Area Qualification Standard (FAQS)

The participant will select his or her FAQS based on assigned work. The participant and supervisor discuss the participant's selection and agree that it is the appropriate standard for the work to be performed by the participant for the Office. In all cases the participant will have to measure their competency against the selected FAQS. It is anticipated that the existing DOE FAQS will be modified to reflect EM Headquarters work.

6.3 Office Specific Standards (OSS)

Office Directors, with the assistance of staff, Subject Matter Experts (SMEs), and EM-13, develop standards that are specific to individual EM Headquarters Offices' missions and functions. EM TCP participants are expected to complete their respective OSS as part of the program.

6.4 Participant's Self-Assessment

The participant collects his or her vital information, training records, and other information for use in the self-assessment. The records of accomplishments measured against the standards will be kept in a computerized tracking system. Each participant needs to enter the data into the tracking system, and begin determining where he or she meets the desired competencies based on the standards, where equivalencies exist, where exemptions might be necessary, and where additional training is required to satisfy the desired result. Once the information is entered in to the tracking system, the participant has established his or her "Technical Capability Record" (TCR).

After completion of the TCR, the participant should discuss the results with his or her supervisor. The supervisor may suggest areas where there needs to be adjustments to the TCR (additions, modifications, or deletions of competencies).

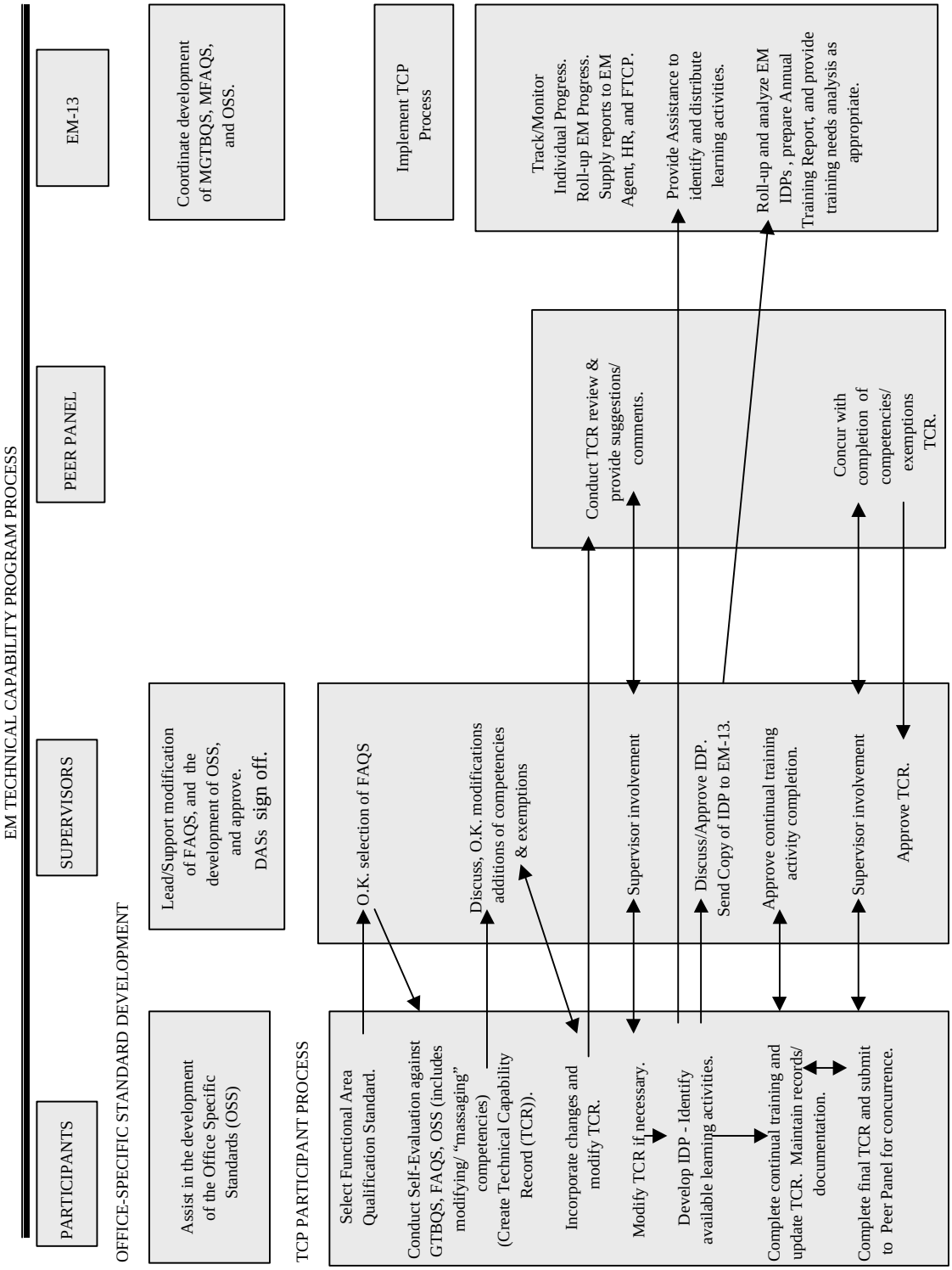
EM TECHNICAL CAPABILITY PROGRAM PROCESS
PARTICIPANTS
SUPERVISORS
PEER PANEL
EM-13
OFFICE-SPECIFIC STANDARD DEVELOPMENT
Assist in the development of the Office Specific Standards (OSS)
Lead/Support modification of FAQS, and the development of OSS, and approve. DASs sign off.
Coordinate development of MGTBQS, MFAQS, and OSS.
TCP PARTICIPANT PROCESS
Select Functional Area Qualification Standard.
Conduct Self-Evaluation against GTBQS, FAQS, OSS (includes modifying/ "massaging" competencies) (Create Technical Capability Record (TCR)).
Incorporate changes and modify TCR.
Modify TCR if necessary.
Develop IDP - Identify available learning activities.
Complete continual training and update TCR. Maintain records/ documentation.
Complete final TCR and submit to Peer Panel for concurrence.
O.K. selection of FAQS
Discuss, O.K. modifications additions of competencies & exemptions
Supervisor involvement
Discuss/Approve IDP. Send Copy of IDP to EM-13.
Approve continual training activity completion.
Supervisor involvement
Approve TCR.
Conduct TCR review & provide suggestions/ comments.
Concur with completion of competencies/ exemptions TCR.
Implement TCP Process
Track/Monitor Individual Progress. Roll-up EM Progress. Supply reports to EM Agent, HR, and FTCP.
Provide Assistance to identify and distribute learning activities.
Roll-up and analyze EM IDPs , prepare Annual Training Report, and provide training needs analysis as appropriate.

Figure 2

6.5 Peer Review

It is important that there be an independent evaluation of the TCR to ensure that there is a clear understanding of the determination of competency, equivalencies, exemptions, and the need for training to fully meet expectations. Independent reviews will help to ensure that the competencies, equivalencies, and exemptions are applied consistently across the program. EM-13 will establish one or more "Advisory Peer Review Panels." These panels will consist of technical subject matter experts, many of whom might be participants in the EM TCP, however, if possible, at least one member of the panel will come from outside of the EM Headquarters organization. Human resource and training specialists may also participate on the panel. Supervisors will not be asked to sit on the advisory peer review panels to ensure that there is no conflict of interest.

The advisory review panel will use a set of established criteria on which to evaluate the applicants TCR. The panel will provide a written record of the review and make suggestions to the participant on areas needing attention. The suggestions of the review panel will become part of the administrative record and will be provided to both the participant and the supervisor. As a result of the suggestions of the review group, there may be a need for the participant to modify his or her TCR. It is suggested that any modifications that are made be discussed with the supervisor.

6.6 Individual Development Plans (IDPs)

After the participant has identified areas where training is necessary to improve their job related competencies, he or she should begin the preparation of an Individual Development Plan (IDP), as required by DOE Order 360.1, *Training*. The IDP should propose learning activities that are necessary to improve, enhance or maintain job related competencies. The TCP participant and the supervisor should discuss the IDP, adjustments should be made if appropriate, and the supervisor should approve the document. A copy of the IDP should be kept by both the supervisor and the participant, and a copy should be sent to EM-13. EM-13 will use the information in the IDP for information requests on training from the Department's Office of Training, Congress, OMB, etc. The information will also be used by EM-13 to support a Training Needs Assessment so that the appropriate training can be brought to Headquarters and delivered in a cost efficient manner. The Training Needs Assessment will provide the baseline for the development of the Annual Training Plan.

Identifying training in an IDP does not guarantee that the training will be received. Many things need to be balanced by the supervisor before training is approved. These include: cost; workload; and the relationship of the training to work processes. However, a training or learning activity which has an associated expenditure of funds (not salary) will not be approved by EM-13 or the Deputy Assistant Secretary for Management and Evaluation (EM-10) unless it is contained in an approved IDP. The same will be held for those employees that elect not to participate in the EM TCP. Disapproval of a learning activity does not mean

that the participant has been removed from the EM TCP. Rather, alternative learning activities may be suggested, or the participant may ask for reconsideration at a later date.

EM-13 will assist employees in identifying and obtaining learning activities. A useful source of training, education, learning activities, and other training information is EM-13's home page. The Internet address is: http://www.em.doe.gov/emtrain/

6.7 Complete Training and Update TCR

After the employee and the supervisor prepare and approve the IDP, the participant schedules the training or learning activity. Once that activity is completed, the participant needs to update his or her TCR and maintain all current training documentation. The appropriate information about the training or learning activity is entered into the TCR to show how a competency has been met. The information is electronically forwarded to EM-13 for use in tracking and monitoring TCP participants progress.

6.8 Continued Professional Development

Employees should continue with professional development activities after completion of the EM TCP. Training needs should be directly related to the work assigned, and DOE Order 360.1 and the IDP process must be followed. Additionally, as work assignments change, employees need to re-evaluate their competencies, determine if they need to meet another FAQS, and apply the EM TCP and/or IDP process accordingly.

7.0 RECORDS

It is important that appropriate records be kept and maintained for the EM TCP. The record will be used as a demonstration that a participant is making progress towards meeting, enhancing, and maintaining his or her competency. In addition, the record is important for those employees who may take reassignments to other Departmental elements (Headquarters and the Field) that have TCP's. The record can be used to demonstrate competency against the standards for specific positions without having to recertify.

7.1 EM-13 will establish and maintain an integrated training and qualification records system that will be used by program participants, supervisors, and administrators. Background documentation of the cited educational, training, and on-the job experience will be maintained by the TCP participant.

7.2 Items in the Technical Capability Program records include:
   a. Approved exemptions and equivalencies from competency statements.
   b. Completed Technical Capability Records that identify satisfactory achievement of competencies.
   c. Technical Capability Program certificates of completion.
   d. Copies of Technical Capability Record (TCR) summaries.

7.3 Participants are responsible for maintaining hard copy documentation of their completed training. This may include certifications, registrations, etc. This information may be requested by the Peer Review Panel during the review of the participants' TCRs.

8.0 TECHNICAL CAPABILITY PROGRAM MAINTENANCE

8.1 EM-13 will maintain training systems and records as stated in section 7.1.

8.2 The Technical Capability Program (TCP) OSSs and MFAQS will be reviewed and updated at least every three years as described in DOE O 360.1, *Training*. The Office of Training and Education (EM-13) will participate in the TCP review process and continue to serve as the Office of Primary Responsibility (OPR) for implementation support of the TCP for the Office of Environmental Management. EM staff needing assistance should contact EM-13.

9.0 PLANNING AND REPORTING

9.1 Annual Training Plans will be developed by EM-13 based on the results of the Annual Needs Assessments and the review and analysis of revised IDPs. This data will provide the baseline to determine training resource requirements. The Annual Training Summary Report will reflect program accomplishments, including: comparisons to goals, objectives, and critical needs; training performance measure results; comparison of resource expenditures to planned expenditures; and annual baseline information (actual training costs for employees).

9.2 EM-13 will conduct periodic assessments of the TCP in accordance with FTCP requirements for the revised 93-3 IP. The results of TCP assessments will be submitted to the FTCP for review.

REFERENCES

DOE Order 360.1, *Training*, May 1995.

DNFSB Recommendation 93-3, *Improving DOE Technical Capability in Defense Nuclear Facilities Programs*, June 1993.

Revised Implementation Plan for DNFSB Recommendation 93-3, *Improving Technical Capability in Defense Nuclear Facilities Programs,* May 1998.

DOE's Functional Area Qualification Standards (FAQS).

DOE's General Base Technical Qualification Standard (GBTQS).

DOE's Senior Technical Safety Manager Handbook, May 1997.

EM's Office-Specific Standards (To be Developed).

EM's Modified Functional Area Qualification Standards (MFAQS) (To be Developed).

EM's Modified General Technical Base Qualification Standard (MGTBQS) (To be Developed).

Draft DOE P 420.XX, *Federal Technical Capability Policy for Defense Nuclear Facilities*.

Draft DOE G 420.XX, *Recruiting, Hiring, and Retaining High Quality Technical Staff: A Manager's Guide to Administrative Flexibilities.*

DOE TQP Phase I Assessment Criteria, July 1998.

Draft DOE TCP Assessment Criteria.

DEFINITIONS

Advisory Peer Review Panel - A group of Subject Matter Experts (SMEs) in specified topical areas, designated by the applicable Manager, given the authority to evaluate and concur on the knowledge and skills associated with competency statements on employees' TCRs.

Defense Nuclear Facility - A production facility or utilization facility that is under the control or jurisdiction of the Secretary of Energy and that is operated for national security purposes (not including facilities pertaining to the Naval nuclear propulsion program, any facility or activity involved with the transportation of nuclear explosives or nuclear material, facilities that do not conduct atomic energy defense activities, or facilities owned by the U.S. Enrichment Corporation). A defense nuclear facility is also a nuclear waste storage facility under the control or jurisdiction of the Secretary of Energy, not including facilities developed pursuant to the Nuclear Waste Policy Act of 1982 (U.S.C. 10101 et seq.) and licensed by the Nuclear Regulatory Commission (NRC).

DOE Functional Area Qualification Standards - 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.

DOE General Technical Base Qualification Standards - 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 General Technical Base Qualification Standard 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.

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.

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.

Individual Development Plan (IDP) - An individually tailored plan established between a supervisor and a person that outlines the person's short - and long - range career objectives and the means for achieving these objectives within certain time-frames. The purpose of the IDP is to increase the current proficiency, development, and progression of personnel through a systematic training plan.

Modified General Technical Base Qualification Standard (MGTBQS) - The General Technical Base Qualification Standard that has been modified to include general competencies critical to EM Headquarter mission (e.g., "Paths to Closure," and "Integrated Planning, Accountability, and Budgeting System" (IPABS)).

Modified Functional Area Qualification Standards (MFAQS) - Functional Area Qualification Standards that have been modified to suit the programmatic nature of EM Headquarters. The standards will be less technical in nature and will address Headquarter programmatic activities.

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 Functional Area Qualification and is based upon an analysis of specific requirements associated with the position.

Self-Assessment - A measure of the EM Technical Capability Program against FTCP criteria.

Self-Evaluation - A participant's comparison of his or her skills, knowledge, and abilities against the appropriate standards for their position. The self-evaluation provides the framework for a participant's learning activities in order to enhance their capability. The self-evaluation includes supporting documentation such as Position Description, SF-171, educational background, etc.

Subject Matter Expert (SME) - An incumbent recognized as an expert in a technical area. SMEs are used to support development and implementation of the TCP. A person who has sufficient technical knowledge, skills, abilities, and understanding to demonstrate mastery of certain competencies. In implementing this plan, a SME may be chosen to assist candidates in completing their requirements. The SME may be called upon by first-level supervisors to evaluate candidate's competencies.

TCP Participants - Any employee who is assigned a position which has been identified as a Senior Technical Safety Manager/Advisor (STSM/A) or "critical position" in the context of DNFSB Recommendation 93-3. Also, any employee who elects to participate in the TCP on a voluntary basis.

Technical Capability Record (TCR) - The documentation of competency statement exemption, equivalency, or completion for a TCP participant.

ACRONYMS

DAS Deputy Assistant Secretary
DNFSB Defense Nuclear Facilities Safety Board
DOE Department of Energy
EM Office of Environmental Management
FAQS Functional Area Qualification Standards
FTCP Federal Technical Capability Panel
GTBQS General Technical Base Qualification Standard
HQ Headquarters
IDP Individual Development Plan
IP Implementation Plan
MFAQS Modified Functional Area Qualification Standards
MGTBQS Modified General Technical Base Qualification Standard
NTEU National Treasury Employees Union
OPM Office of Personnel Management
OPR Office of Primary Responsibility
OSS Office-Specific Standards
POC Point of Contact
SME Subject Matter Expert
STSM/A Senior Technical Safety Manager/Advisor
TCP Technical Capability Program
TCR Technical Capability Record
TQP Technical Qualification Program

APPENDIX A

EM TECHNICAL CAPABILITY PROGRAM IMPLEMENTATION TEAM CHARTER

DOE F 1325.8
(8-89)
EFG (07-90)

United States Government **Department of Energy**

memorandum

DATE: AUG 0 6 1998

REPLY TO
ATTN OF: EM-12 (Kleinrock:6-4604)

SUBJECT: Technical Capability Program Implementation Team (TCPIT) Charter

TO: James M. Owendoff, EM-1

As you are aware, the Implementation Plan (IP) for Defense Nuclear Facility Safety Board (DNFSB) Recommendation 93-3, has been revised by the Department and accepted by the Board. The IP requires, among other things, that each Headquarters and Field element responsible for defense nuclear facilities develop and implement a Technical Capability Program (TCP) for its employees.

The Office of Environmental Management (EM) began development of a TCP under the original DNFSB Recommendation 93-3 IP. That program was never implemented in EM due to many factors, including issues raised by the National Treasury Employees Union (NTEU). Many of those issues remain, however, EM Headquarters needs to meet its commitments in the DNFSB Recommendation 93-3 IP. To this end, a working group - the Technical Capability Program Implementation Team (TCPIT) - has been formed. Members of the team were nominated by their Deputy Assistant Secretaries in response to my May 11, 1998, memorandum. In addition, representatives from NTEU have been asked to participate on the team to share ideas and exchange information so that when it is time to enter into impact and implementation (I&I) negotiations, the major issues will have been resolved.

Attached, for your approval, is a charter for the TCPIT. It was developed and signed by the team members. I am the responsible EM Deputy Assistant Secretary for implementing DNFSB Recommendation 93-3. I support the team, its mission, goals, and responsibilities, and have approved the charter. I recommend that you too approve the charter. If you have any questions, please call me on 6-1665.

Barry R. Clark
Acting Deputy Assistant Secretary
for Management and Evaluation

Attachment

TECHNICAL CAPABILITY PROGRAM IMPLEMENTATION TEAM (TCPIT) CHARTER

BACKGROUND

The Defense Nuclear Facilities Safety Board (Board) issued a letter to the Secretary of Energy (Secretary) on April 2, 1997, requesting that the Implementation Plan (IP) responding to Board Recommendation 93-3 be revised. The Secretary agreed with the request to revise the IP in his response to the Chairman on April 25, 1997

The Department developed the "Revised Implementation Plan for Improving DOE Technical Capability in Defense Nuclear Facilities Programs," which was approved by the Secretary on May 5, 1998, and accepted by the Board on June 1, 1998.

In order to effectively address the commitments and action items in the 93-3 IP, the Office of Environmental Management (EM) has assembled the Technical Capability Program Implementation Team (TCPIT). The TCPIT will plan, develop, and promulgate the implementation of those commitments involving EM.

MEMBERSHIP

The Deputy Assistant Secretary of each EM organization shall designate a representative from their organization to be a member of the team. The EM Capability Agent to the Federal Technical Capability Program (FTCP) will also designate a representative member. Representatives of the National Treasury Employee Union (NTEU) have been asked to participate on the team. EM-12/13 will chair the EM TCPIT.

MISSION/GOALS

The mission of the TCPIT is to develop a means to implement EM's commitments to the Board for Recommendation 93-3 for the purpose of recruiting, deploying, developing, and retaining federal personnel with the demonstrated technical capabilities to safely accomplish the Department's safety missions and responsibilities. The TCPIT's goal is to assist in the development and implementation of a meaningful technical professional program designed to enhance and retain high quality technical personnel. The means to achieve the purpose is to initiate the Technical Capability Program (TCP), formerly the Technical Qualification Program (TQP).

RESPONSIBILITIES

1. TCPIT members will represent their program offices on all EM Technical Capability Program issues.

2. As a path forward, the old TQP will be reviewed and analyzed to determine if any of the old program can be applied to the new (although the overall program was not fully successful and effective, there may be value in some of the processes that can be applied in the new effort).

3. Plan, schedule, promulgate implementation, and evaluate DNFSB Recommendation 93-3 commitments and actions as they relate to EM.

4. Initiate the TCP for EM Headquarters staff.

5. Provide status to EM-1 on Implementation progress.

6. Provide status and information to the NTEU to promote an equitable transition.

7. Ensure commitments and actions identified in the revised IP are met.

8/3/98
Michael Kleinrock, EM12/13 Date
Chair, TCPIT

7/23/98
Chandra Majumdar, EM-4 Date

7/22/98
Arnold Gritzke, EM-20 Date

7/22/98
Hank Himpler, EM-30 Date

7/23/98
Randy Smyth, EM-40 Date

7/22/98
Mac Lankford, EM-50 Date

7/24/98
Andy Szilagyi, EM-60 Date

7/27/98
Robert Goldsmith, EM-70 Date

APPROVED BY:

8/6/98
Barry R. Clark, Acting Deputy Assistant Date
Secretary for Management and Evaluation

8/11/98
James M. Owendoff, Acting Assistant Date
Secretary for Environmental Management

APPENDIX B

EM TECHNICAL CAPABILITY PROGRAM
POSITIONS REQUIRING MANDATORY PARTICIPATION

EM TECHNICAL CAPABILITY PROGRAM
POSITIONS REQUIRING MANDATORY PARTICIPATION

The incumbent in the positions identified in this chart are required to participate in the EM Technical Capability Program. The positions are positions identified as either Senior Technical Safety Manager/Advisor positions or EM Headquarters critical positions identified under DNFSB Recommendation 93-3. Positions may be added or deleted pending re-evaluation. **NOTE:** The STSM Handbook identified **either** the Assistant Secretary **or** the Principal Deputy Assistant Secretary **and either** the Deputy Assistant Secretary **or** the Associate Deputy Assistant Secretary for EM-30, EM-40, EM-60, and EM-70 as STSM/As.

Positions	STSM/A	Critical Positions
Assistant Secretary for Environmental Management, EM-1	X	X
Principal Deputy Assistant Secretary, EM-2	X	X
Director, Office of Safety and Health, EM-4	X	X
Deputy Assistant Secretary for Waste Management, EM-30	X	X
Associate Deputy Assistant Secretary for EM-30	X	X
Director, Office of Eastern Operations, EM-32	X	X
Director, Office of Central Operations, EM-34	X	X
Director, Office of Western Operations, EM-36	X	X
Director, Office of Technical Services, EM-37	X	
Director, Office of Hanford Operations, EM-38	X	X
Deputy Assistant Secretary for Environmental Restoration, EM-40	X	X
Associate Deputy Assistant Secretary for EM-40	X	X
Director, Office of Eastern Area Programs, EM-42 (Site Lead, OH)	X	X
Site Lead, OR, EM-42		X
Director, Office of Northwestern Area Programs, EM-44	X	X
Director, Office of Southwestern Area Programs, EM-45	X	X
Deputy Assistant Secretary, Office of Science and Technology Site Lead, CH/OAK, EM-50		X
Deputy Assistant Secretary for Nuclear Material and Facility Stabilization, EM-60	X	X
Associate Deputy Assistant Secretary for EM-60	X	X
Director, Savannah River Office, EM-63	X	X
Director, Rocky Flats Office, EM-64	X	X
Director, Northwestern/Oak Ridge/Chicago Office, EM-65	X	
Director, Nuclear Material Stabilization Office, EM-66	X	X
Director, Spent Fuel Management Office, EM-67	X	X

Positions	STSM/A	Critical Positions
Deputy Assistant Secretary for Site Operations, EM-70	X	X
Associate Deputy Assistant Secretary for EM-70	X	
Director, Mound and Pinellas Project Office, EM-73	X	
Director, Office of Transportation, Emergency Management, and Analytical Services, EM-76	X	X

APPENDIX C

SUMMARIES OF
DOE FUNCTIONAL AREA QUALIFICATION STANDARDS

FUNCTIONAL AREA QUALIFICATION STANDARDS

The Technical Capability Program is divided into three levels of technical competence. The General Technical Base Qualification Standard establishes the base technical competence required of all Department of Energy defense nuclear facility technical personnel. The Functional Area Qualification Standards build on the requirements of the General Technical Base Qualification Standard and establish Department-wide functional competence requirements in each of the identified functional areas. Office/facility-specific Qualification Standards establish unique operational competency requirements at the Headquarters or Field element, site, or facility level.

The following is summary information on the Department's Functional Area Qualification Standards. These have been used complex-wide. However, some of the competencies in the actual standards do not apply to EM Headquarters work processes, and as such, the standards will be modified as appropriate. For those competencies that are not applicable, an exemption will be granted.

Chemical Processing

The Chemical Processing Functional Area Qualification Standard establishes common functional area competency requirements for all Department of Energy chemical processing technical personnel who provide management direction or oversight impacting the safe operation of defense nuclear facilities. This Standard applies to all Department of Energy chemical processing technical personnel who provide management direction or oversight impacting the safe operation of defense nuclear facilities.

Civil/Structural Engineering

The Civil/Structural Engineering Functional Area Qualification Standard establishes common functional area competency requirements for all Department of Energy civil/structural engineering personnel who provide management oversight or direction impacting the safe operation of defense nuclear facilities. This Standard applies to all Department of Energy civil/structural engineering personnel who provide management direction or oversight impacting the safe operation of defense nuclear facilities.

Construction Management and Engineering

The Construction Management and Engineering Functional Area Qualification Standard establishes common functional area competency requirements for all Department of Energy construction management and engineering personnel who provide management oversight or direction impacting the safe operation of defense nuclear facilities. This Standard applies to all Department of Energy construction management and engineering technical personnel who provide management direction or oversight impacting the safe operation of defense nuclear facilities.

Environment, Safety, and Health (EH) Resident

The EH Resident Functional Area Qualification Standard establishes common functional area competency requirements for all Department of Energy EH Resident personnel who provide management oversight or direction impacting the safe operation of defense nuclear facilities. This Standard applies to all Department of Energy EH Residents who provide oversight of the safe operation of defense nuclear facilities.

Electrical Systems

The Electrical Systems Functional Area Qualification Standard establishes common functional area competency requirements for all Department of Energy electrical systems technical personnel who provide management oversight or direction impacting the safe operation of defense nuclear facilities. This Standard applies to all Department of Energy electrical systems technical personnel who provide management direction or oversight impacting the safe operation of defense nuclear facilities.

Emergency Management

The Emergency Management Functional Area Qualification Standard establishes common functional area competency requirements for all Department of Energy emergency management technical personnel who provide management oversight or direction impacting the safe operation of defense nuclear facilities. This Standard applies to all Department of Energy nuclear safety system technical personnel who provide management direction or oversight impacting the safe operation of defense nuclear facilities.

Environmental Compliance

The Environmental Compliance Functional Area Qualification Standard establishes common functional area competency requirements for all Department of Energy environmental compliance technical personnel who provide management oversight or direction impacting the safe operation of defense nuclear facilities. This Standard applies to all Department of Energy environmental compliance technical personnel who provide management direction or oversight impacting the safe operation of defense nuclear facilities.

Environmental Restoration

The Environmental Restoration Functional Area Qualification Standard establishes common functional area competency requirements for all Department of Energy fire protection engineer technical personnel who provide management oversight or direction impacting the safe operation of defense nuclear facilities. This Standard applies to all Department of Energy Environmental Restoration technical personnel who provide management direction or oversight impacting the safe operation of defense nuclear facilities.

Facility Maintenance Management

The Facility Maintenance Management Functional Area Qualification Standard establishes common functional area competency requirements for all Department of Energy facility maintenance management technical personnel who provide management oversight or direction impacting the safe operation of defense nuclear facilities. This Standard applies to all Department of Energy facility maintenance management personnel who provide management direction or oversight impacting the safe operation of defense nuclear facilities.

Facility Representative

The Facility Representative Functional Area Qualification Standard establishes common functional area competency requirements for all Facility Representatives assigned to Department of Energy defense nuclear facilities. This Standard applies to all Department of Energy Facility Representatives that provide management direction or oversight impacting the safe operation of defense nuclear facilities.

Fire Protection Engineer

The Fire Protection Engineering Functional Area Qualification Standard establishes common functional area competency requirements for all Department of Energy fire protection engineer technical personnel who provide management oversight or direction impacting the safe operation of defense nuclear facilities. This Standard applies to all Department of Energy Fire Protection Engineers technical personnel who provide management direction or oversight impacting the safe operation of defense nuclear facilities.

Instrumentation and Control

The Instrument and Control Functional Area Qualification Standard establishes common functional area competency requirements for all Department of Energy instrument and control technical personnel who provide management oversight or direction impacting the safe operation of defense nuclear facilities. This Standard applies to all Department of Energy instrument and control technical personnel who provide management direction or oversight impacting the safe operation of defense nuclear facilities.

Industrial Hygiene

The Industrial Hygiene Functional Area Qualification Standard establishes common functional area competency requirements for all Department of Energy industrial hygiene personnel who provide management oversight or direction impacting the safe operation of defense nuclear facilities. This Standard applies to all Department of Energy industrial hygiene technical personnel who provide management direction or oversight impacting the safe operation of defense nuclear facilities.

Mechanical Systems

The Mechanical Systems Functional Area Qualification Standard establishes common functional area competency requirements for all Department of Energy mechanical systems technical personnel who provide management oversight or direction impacting the safe operation of defense nuclear facilities. This Standard applies to all Department of Energy mechanical systems technical personnel who provide management direction or oversight impacting the safe operation of defense nuclear facilities.

Nuclear Explosives Safety

The Nuclear Explosives Safety Functional Area Qualification Standard establishes common functional area competency requirements for all Department of Energy nuclear explosives safety technical personnel who provide management direction or oversight impacting the safe operation of defense nuclear facilities. This Standard applies to all Department of Energy nuclear explosives safety technical personnel who provide management direction or oversight impacting the safe operation of defense nuclear facilities.

Nuclear Safety Systems

The Nuclear Safety System Functional Area Qualification Standard establishes common functional area competency requirements for all Department of Energy nuclear safety technical personnel who provide management oversight or direction impacting the safe operation of defense nuclear facilities. This Standard applies to all Department of Energy nuclear safety system technical personnel who provide management direction or oversight impacting the safe operation of defense nuclear facilities.

Occupational Safety

The Occupational Safety Functional Area Qualification Standard establishes common functional area competency requirements for all Department of Energy occupational safety technical personnel who provide management oversight, or direction impacting the safe operation of defense nuclear facilities. This Standard applies to all Department of Energy occupational safety technical personnel who provide management direction or oversight impacting the safe operation of defense nuclear facilities.

Project Management

The Project Management Functional Area Qualification Standard establishes common functional area competency requirements for all project management personnel. This Standard applies to all Department of Energy project management personnel required to plan and execute projects in accordance with the Departmental Directives regarding project management.

Quality Assurance

The Quality Assurance Functional Area Qualification Standard establishes common functional area competency requirements for all Department of Energy quality assurance technical personnel who provide management direction or oversight, impacting the safe operation of defense nuclear facilities. This Standard applies to all Department of Energy quality assurance technical personnel who provide management direction or oversight impacting the safe operation of defense nuclear facilities.

Radiation Protection

The Radiation Protection Functional Area Qualification Standard establishes common functional area competency requirements for all Department of Energy radiation protection Federal technical personnel who provide management oversight or direction impacting the safe operation of defense nuclear facilities. This Standard applies to all Department of Energy radiation protection technical personnel who provide assistance, guidance, direction or oversight that could impact the safe operation of a defense nuclear facility.

Safeguards and Security

The Safeguards and Security Functional Area Qualification Standard establishes common functional area competency requirements for all Department of Energy safeguards and security technical personnel who provide management oversight or direction impacting the safe operation of defense nuclear facilities. This Standard applies to all Department of Energy safeguards and security technical personnel who provide management direction or oversight impacting the safe operation of defense nuclear facilities.

Senior Technical Safety Manager

A senior technical safety manager is that person who is usually at the GS/GM-15 or Senior Executive Service (SES) level and assigned the direct responsibility to manage technical programs, resources, and/or Department personnel who provide assistance, direction, guidance, oversight, or evaluation of contractor technical activities impacting the safe operation of defense nuclear facilities. The Department's Technical Excellence Policy, issued by the Secretary on October 29, 1993, commits the Department to continuously strive for technical excellence, including recruiting capable individuals who share the Department of Energy (DOE) core values. The Senior Technical Safety Manager Functional Area Qualification Standard replaces the Technical Manager Functional Area Qualification Standard which was issued in May 1995. It establishes common functional area competency requirements for all Department of Energy senior technical safety managers who provide assistance, direction, guidance, oversight, or evaluation of contractor technical activities impacting the safe operation of defense nuclear facilities. This Standard applies to all Department of Energy senior technical safety managers as identified by their respective Operations/Field Office Manager or Principal Secretarial Officer (PSO).

Technical Training

The Technical Training Functional Area Qualification Standard establishes common functional area competency requirements for all Technical Training personnel performing functions related to Department of Energy defense nuclear facilities. The Technical Training Functional Area Qualification Standard identifies the competencies related to training and qualification program processes, requirements and management. It does not identify the specific technical competencies associated with designing or developing technical training programs, or understanding the content of a training or qualification program being evaluated. This Standard applies to all Department of Energy technical training personnel responsible for
managing, administering, and/or evaluating contractor or Federal technical training and qualification programs that may have an impact on the safe operation of defense nuclear facilities. Personnel designated by Headquarters or Field element line management as participants in the Technical Qualification Program are required to satisfy the competency requirements of this Standard.

Waste Management

The Waste Management Functional Area Qualification Standard establishes common functional area competency requirements for all Department of Energy waste management technical personnel who provide management oversight or direction impacting the safe operation of defense nuclear facilities. This Standard applies to all Department of Energy waste management technical personnel who provide management direction or oversight impacting the safe operation of defense nuclear facilities.