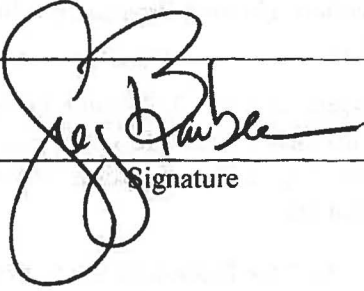


EP-DIR-SOP-2011, Revision 4.0

*Rev  
04/16/09*

# Personnel Training and Qualification

Effective Date: 04/16/09

Greg Barbee Procedure Owner	 Signature	04/16/09 Date	2 years Review Period
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# Personnel Training and Qualification

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## HISTORY OF REVISIONS

Revision Number	Issue Date	Action	Description
0	06/11/07	Original issue of EP-DIR-SOP-2011	Supersedes QP-2.1, <i>Personnel Qualification and Selection Process</i> , and QP-2.2, <i>Personnel Training Management</i> .
1	07/19/07	Minor revision to EP-DIR-SOP-2011 R0	Added new Section 4.5 and Attachment 7 to address course documentation requirements.
2	08/23/07	Minor revision to EP-DIR-SOP-2011 R1	4.2 #24 RLM Responsibilities for Conditional Authorization and 4.5 #2 Addition of required briefings documentation & briefing synopsis form.
3	04/10/08	Major revision to EP-DIR-SOP-2011 R2	<ul style="list-style-type: none"><li>• Include two-year review period for this procedure from the time of this IPC-1 change time frame.</li><li>• Include Training Program Evaluation frequency every 3 years.</li><li>• Include use of CT Training Development Process forms, Customer Request form 1, for determination of training and Course Creation form 10 for required reading tracking.</li><li>• 4.5 #2 Clarification of process for documentation of training, which includes courses, and briefings, with the use of a LANL Course Roster form 1651 or Attachment 3, Briefing Synopsis form, for data entry into EDS and storage at CT. Optional use of pre-printed personnel names on Briefing Synopsis form.</li></ul>
4	04/16/09	Major revision	<ul style="list-style-type: none"><li>• Include section on Subcontractor Personnel Qualification.</li><li>• Include briefing determination guidelines.</li><li>• Deleted section content on interim qualification, formalized qualification, and required reading, instead pointing to the Institutional, Central Training or EWMO organizational process in place.</li><li>• Supersedes EP-DIV-AP-01, <i>EWMO Required Reading Program</i>.</li><li>• This revision constitutes a major revision. No change bars are included.</li></ul>

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## 1.0 PURPOSE AND SCOPE

The purpose of this procedure is to describe the process within the Los Alamos National Laboratory (LANL) Environmental Programs (EP) Directorate to formalize and document the training and qualification process for personnel. This procedure and any revisions to this procedure will reflect the requirements in P781-1, Conduct of Training Manual (COTM). This procedure meets the requirements of the EP-DIR-QAP-0002, *Quality Plan Implementation Matrices for the Environmental Program Directorate*.

EP personnel deployed to other organizations are required to follow the training and qualification requirements of the organization to which they are deployed for facility and job specific training. Where the EP organization has core training requirements or a qualification standard for deployed services personnel (i.e., Waste Management Coordinators [WMCs] which meet the requirements of 5480.20A, Personnel Selection, Qualification, and Training Requirements for Department of Energy [DOE] Nuclear Facilities), the core training shall be completed and maintained as specified in the core training documents. Where qualification standards are not completely developed, the interim process defined in Section 4.1 is applicable to EP personnel. The Subcontractor Qualification and Training requirements are also outlined in this procedure.

## 2.0 BACKGROUND AND PRECAUTIONS

### 2.1 Background

The intent of personnel training and qualification is to assure EP Directorate personnel and subcontractors assigned to work are properly qualified to perform their assignments in an efficient, safe, secure, and compliant manner and are trained to maintain proper qualifications. Personnel assigned to work must receive appropriate training prior to performing work. The EP Training Team provides continuous training to personnel to maintain their job proficiency.

Training must be developed using a systematic approach tailored to meet the current specified work activity. Training methods may include the following:

- Formal training conducted by Training Staff Qualification Program (TSQP) qualified instructors
- Formal briefings conducted by management-approved personnel (these briefings include lesson plans etc.)
- Workshops
- Awareness training

Personnel assigned to perform activities must have the education; knowledge, skills and abilities (KSAs); experience; and training commensurate with the functions associated with their work. Personnel must receive initial training established to address work-specific risks and hazards associated with their roles and responsibilities.

Responsible managers, with the assistance of the Training Specialist, must identify the qualification requirements, training needs, and proficiency requirements of personnel assigned to work. Training and qualifications to meet these requirements must be validated and verified. Responsible managers must ensure personnel complete refresher training, and where applicable, requalification training, to maintain and enhance KSAs appropriate to work risks and hazards. Refresher and/or requalification training must be developed to ensure proficiency pertaining to that qualification is maintained. Unqualified personnel are precluded from work activities.

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There are three tiers of governing documentation for training and qualification at LANL. The highest level document defining training requirements is DOE O 5480.20A, *Personnel Selection, Qualification, and Training Requirements for DOE Nuclear Facilities*. The second tier is P781-1, *Conduct of Training Manual*; and the third tier is this procedure, EP-DIR-SOP-2011.

## **DOE Order 5480.20A, Personnel Selection, Qualification, and Training Requirements for DOE Nuclear Facilities**

DOE Order 5480.20A is the governing document for training, qualification, and certification of nuclear facility workers. The analysis, training, and qualification processes stipulated within this procedure are compliant with DOE Order 5480.20A.

## **Conduct of Training Manual Requirements**

P781-1, *Conduct of Training Manual*, is the governing document for training at LANL. The COTM establishes a formally documented methodology for ensuring that training activities at LANL are conducted in accordance with contractual requirements and regulatory drivers (i.e., U.S. Department of Energy [DOE] Order 5480.20A, *Personnel Selection, Qualification, and Training Requirements for DOE Nuclear Facilities*) in a safe and secure manner. The COTM defines the processes for:

- Ensuring personnel have the knowledge and skills required to perform their assigned duties
- Verifying personnel have the competence commensurate with their assigned duties and responsibilities

## **Systematic Approach to Training**

The systematic approach to training (SAT) methodology incorporates five distinct phases used in the training process; analysis, design, development, implementation, and evaluation methodology. Training personnel apply a graded approach when conducting their analysis and development activities. The SAT steps will be completed for each job position to analyze, design, develop, and implement a qualification standard for job positions within the EP Directorate.

## **Training and Qualification**

Qualification is a formal program that defines the required education, experience, training, examination, and any special conditions necessary to ensure that personnel can perform their assigned duties in a safe and reliable manner. Qualification standards are developed in accordance with the COTM and are that the SAT process to identify training and qualification or certification requirements necessary to provide workers with the knowledge and skills to perform their tasks and activities safely and effectively.

## **Training Program Evaluation Requirement**

The COTM promulgates the requirement for a Training Program Evaluation, per DOE-STD-1070-94, *Guidelines for Evaluation of Nuclear Facility Training Programs* that must be conducted every 3 years. An evaluation team must conduct a comprehensive training program evaluation to identify significant program strengths and weaknesses. This evaluation covers all aspects of the training program and must be used to identify deficiencies and/or strengths in specific training programs and the overall training program infrastructure.

## Non-Nuclear Workers

Qualification and associated processes for non-nuclear facility workers are defined in P781-1, Conduct of Training Manual, Sections 3.1.2.a and 3.1.2.b. Non-nuclear workers must be authorized in accordance with P300, *Integrated Work Management*. The process of determining the level of training rigor on specific procedures (Conduct of Operations Briefing, Required Reading or formal training) is the same for non-nuclear work as it is for DOE O 5480.20A governed work (see Section 4.3, 4.4, 4.5). If risks associated with failure in a non-nuclear position are “moderate” and the entry-level knowledge, skills and abilities of new workers are insufficient for competent performance, qualification standards for that position should be developed per Section 4.2 of this procedure.

## Subcontractor Personnel Qualification

LANL requires subcontractors (including vendors) to demonstrate that assigned personnel meet prerequisite training and qualification requirements in the procurement process as a contingency for contract award. This included proof of education and experience. The qualification of subcontractor personnel to conduct work is augmented with required facility and job-specific training validated through Job Task Analysis (JTA) and the work control processes. The following documents define these processes:

- P101-12, *ES&H Requirements for Subcontractors*
- P300, *Integrated Work Management*
- P781-1, *Conduct of Training Manual*
- P850, *Subcontract Technical Representative Program—Roles and Responsibilities*
- AP-MSS-004, *Maintenance & Site Services Subcontracts Management*
- AP-MNT-011, *Maintenance Training and Qualification*
- AP-WORK-002, *Work Planning*

As required by P101-12 and P850, Subcontractor Technical Representatives and Procurement Specialists define technical, quality, health, and safety requirements in Exhibit F of Requests for Proposals (RFPs). Section F7.0, *Employee Training*, of Exhibit F stipulates:

- Subcontractors must ensure workers are properly trained and qualified to perform all tasks (§7.1)
- LANL-provided training is noted in the Exhibit F associated with the RFP. Records of provided training are maintained by LANL (§7.2)
- Subcontractors must conduct or acquire training as specified in the RFP, maintain records of that training, and provide those records to LANL as required (§7.3)
- Subcontractors must complete any facility-specific training required and provided by LANL (§7.4)
- Subcontractor training must be completed prior to initiating work activities (§7.5)

Training and qualification requirements for personnel assigned to perform, manage, or support maintenance activities are defined in AP-MNT-011. These requirements ensure consistent and accurate maintenance of systems, structures, and components at LANL nuclear facilities. This procedure applies to maintenance managers, planners, facility coordinators, and area work coordinators, as well as trainees.

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Subcontractors integrated into LANL operations (e.g., the LANLs Site Service Subcontractor) are subject to work control requirements defined within P300, *Integrated Work Management*. Those requirements include the identification and verification of required training and qualification before individuals may be authorized to conduct work. Other subcontractors are subject to work management requirements defined in Exhibit F, Section 20.2, which requires the use of an Integrated Work Document (IWD) Form 2100A, *MSS Facilities Maintenance*, that requires identification of required training and qualification. The process to identify required training associated with tasks and hazards documented in the Integrated Work Document and associated work package is implemented through AP-WORK-002, *Work Planning*. Form 2102A, *IWD Validation and Release*, requires that verification by the Person-in-Charge (PIC) that workers are authorized and qualified prior to work release.

## 2.2 Precautions

The following is a stipulated training requirement that is part of DOE Order 5480.20A *Personnel Selection, Qualification and Training Requirements for DOE Nuclear Facilities*, and is applicable to personnel working in Non-Reactor Nuclear facilities: An initial training program shall be established for operating organization personnel at operable nuclear facilities to develop or enhance their knowledge and skills to perform job assignments. These programs should be structured commensurate with specific position needs. Examinations (i.e., written, oral, operational evaluations, performance demonstrations) on material included in the training programs shall be administered and documented, as appropriate. Personnel who are in-training shall not independently make decisions or take actions that could affect facility safety, nor shall personnel who are in-training be placed in such positions. However, they may independently perform specific tasks or job assignments for which they are qualified.

## 3.0 EQUIPMENT AND TOOLS

None.

## 4.0 QUALIFICATION AND ASSOCIATED PROCESSES FOR NUCLEAR FACILITY WORKERS

### 4.1 Interim Qualification Process

In the absence of a training and qualification program compliant with DOE O 5480.20A, LANL has developed a process for qualifying LANL nuclear facility workers on an interim basis. This interim process is documented in RN0801, *Interim Qualification Process for Nuclear Facility Workers*. This process is implemented in EP for LANL personnel and will be superseded when a formalized qualification standard is developed for a DOE 5480.20A regulated position.

### 4.2 Formalized Qualification Process

Central Training – Deployed Training Services (CT-DTS) has developed and implemented a formalized Qualification Standard process with “*Qualification Standard Work Instructions*” (QSWI), CT-DTS-QUALSTD-001. The formalized qualification process incorporates a Systematic Approach to Training (SAT) methodology utilizing its five distinct phases; analysis, design, development, implementation, and evaluation. Training personnel apply a graded approach when conducting analysis, design and development activities.

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### 4.3 Required Reading of Administrative and Facility-Specific Documents (Attachments 1 & 2)

The Required Reading Program is a method for disseminating information to a target audience. Required reading is not a method of formal training, and must not be perceived as training unless there is a formal assessment mechanism tied to it. However, the Required Reading program may be utilized as an alternative approach to distribute procedure reads, management information, lessons learned, etc.

The RLM will determine if required reading is the appropriate mode of communication by answering the questions on the top of Attachment 1, *EDS Course/Training Plan Form for Required Reading*. If all of the answers to the questions are "No", the RLM/Procedure Owner has the option of using the required reading process as the mode of communication (Note: If all of the answers are "No" the RLM can also opt to communicate via Con-Ops Briefing [Attachment 3] at this point).

If Required Read is the option selected, the RLM identifies on Attachment 1 the target audience, the method of distribution, and whether or not the required reading is immediate (i.e., should be read before assuming the shift or work station). The RLM then forwards Attachment 1 to the designated Training Coordinator. The Training Coordinator will then send the target audience an email informing them to read the document, the required completion date, and instructions for document access. Distribution and acknowledgement of required reading is performed using one or both of the following methods:

- 1) Domino/Website using CryptoCard – The required reading is posted in Domino/website, the assigned personnel may then access the website, read the material, and then get credit using the link at the end of the document.
- 2) Hard Copy Distribution – This method is normally used only for personnel who have not been assigned CryptoCard authority. A hard copy of the document along with Attachment 2 is forwarded to the assigned personnel by the RLM/Procedure Owner. The completed Attachment 2 is then returned to the Training Coordinator for EDS data entry.

The Training Coordinator will routinely review required reading status to determine which assigned readings have been completed and notify the RLM of delinquencies.

Only information that needs documentation indicating an individual has read and understood the material should be included in the required reading program. Care must be exercised to prevent subversion of the system by including information which can be disseminated by less formal means. It is the responsibility of the reader to question their immediate supervisor when subject matter is not understood. An individual will only be held accountable for material specially designated for that selected individual to read.

### 4.4 Conduct of Operations Briefings (Attachment 3)

If formal training is not required, and Required Reading is not appropriate, briefings may be used at the discretion of the document owner. Following the directions at the top of Attachment 3, *Briefing Synopsis and Roster*, the RLM/Procedure Owner answers the questions in the Guidelines section. If the answer to any of the questions is "Yes" the RLM/Procedure Owner contacts a Training Specialist for help with the SAT process (section 4.5 of this procedure). If the answers to the questions are "No" the RLM/Procedure Owner now has the option of briefing to the procedure and/or procedure changes.

The RLM/Procedure Owner contacts an EP Training Coordinator for an EDS number and then notifies the target audience of the time and place of the informal briefing. The briefing participants sign page 2 of Attachment 3, *Briefing Synopsis and Roster* at the time of the briefing and then the RLM /Procedure Owner returns the document to a Training Coordinator for EDS data entry. The Employee Development System (EDS) will be the system that tracks all Conduct of Operations related briefings.

## 4.5 Training Level Determination Process

As new documents are developed, or existing documents revised, the document owner, along with a Training Specialist, will determine whether or not formal training is required. If the answer to any of the questions at the top of Attachment 1 or Attachment 3 is yes, formal training is required. If formal training is required, the level of training and mode of training will be determined using the Systematic Approach to Training (SAT). The beginning of that determination process will be documented using Attachment 4, Document/Procedure Review for Systematic Approach to Training (SAT) Applicability form. It is at this point the Training Specialist works with procedure/process subject matter expert (SME) to develop the appropriate mode of training following the formal SAT process.

## 4.6 Course Documentation Requirements

Classroom training, formal and informal briefings, and on-the-job training (OJT) must be documented in accordance with the requirements of P781-1, Conduct of Training Manual.

During or immediately after any formal training or informal briefings, training or briefing tracking documentation must be utilized. For required courses or informal briefings, LANL Form 1651, Training Course Information/Roster is primarily used to document training attendance information. When the document owner and a CT-DTS Training Specialist determine a Conduct of Operations level briefing is to be conducted (per Attachment 3) the briefing will be tracked using the Briefing Synopsis and Roster (see Attachment 3). It is the document owner's responsibility to track the briefing using the Briefing Synopsis and Roster. The elements listed below are required on either the LANL Training Course Information Roster or the Briefing Synopsis Form:

- Outline or description of the contents of the course or briefing
- Name of the person delivering the course or briefing
- Date of the course or briefing
- Pre-printed names of all workers required to receive the briefing (if applicable per course requirement)
- Signatures of the participants using LANL roster or Briefing Synopsis Form
- Z Number of the participant
- Supplemental materials used to deliver the briefing (if applicable)

Training course and Conduct of Operations Briefing rosters are submitted to the EP Training Team. Training rosters and briefing synopsis forms document the participant's successful completion of the course/briefing. The EP Training Coordinator enters the completion data into EDS for credit.



## 5.0 RECORDS

### Training Coordinator

Ensure that documents generated by the performance of this procedure are processed as outlined below. Until the time of submittal to the Records Processing Facility, the EP Training Team will keep original forms at Central Training.

Record Identification	Record Type Determination	Protection/Storage Methods	Processing Instructions
<p>Attachment 1, 2011-1 EDS Course/Training Plan Form for Required Reading</p> <p>Attachment 2, 2011-2 EDS Course/Training Roster Form for Required Reading</p> <p>Attachment 3, 2011-3 Briefing Synopsis Form and Roster</p> <p>Attachment 4, 2011-4 Document/Procedure Review for Systematic Approach to Training (SAT) Applicability</p> <p>Other training records, including, but <u>not</u> limited to, the following:</p> <ul style="list-style-type: none"> <li>• Interim Training Process Records</li> <li>• Formalized JTA Process Records</li> <li>• Copies of memos or e-mails regarding close-out of training tracking</li> <li>• Training plans</li> <li>• Training Plans and Courses</li> <li>• Training Plans by Audience</li> <li>• Super training plans</li> <li>• Project training analysis</li> <li>• Course development material</li> </ul>	QA Record	Supervision <b>SHALL</b> implement a reasonable level of protection to prevent loss and degradation.	When the records are ready for final disposition, the record is transferred to Records Management in accordance with EP-DIR-SOP-4004, Record Transmittal and Retrieval Process.

## 6.0 PROCESS FLOW CHART

See Appendix 1.

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## 7.0 APPENDICES

Appendix 1, Determination of Training Need

## 8.0 ATTACHMENTS

The forms for use are found at <http://int.lanl.gov/environment/all/ep-training.shtml> on the Environmental Programs Training home page.

Attachment 1, 2011-1 EDS Course/Training Plan Form for Required Reading

Attachment 2, 2011-2 EDS Course/Training Roster Form for Required Reading

Attachment 3, 2011-3 Briefing Synopsis Form and Roster

Attachment 4, 2011-4 Document/Procedure Review for Systematic Approach to Training (SAT) Applicability

[Using a CRYPTO Card, click here for "Required Read" credit.](#)

If you do not possess a CRYPTOCARD or encounter problems, contact the EP Central Training Office.

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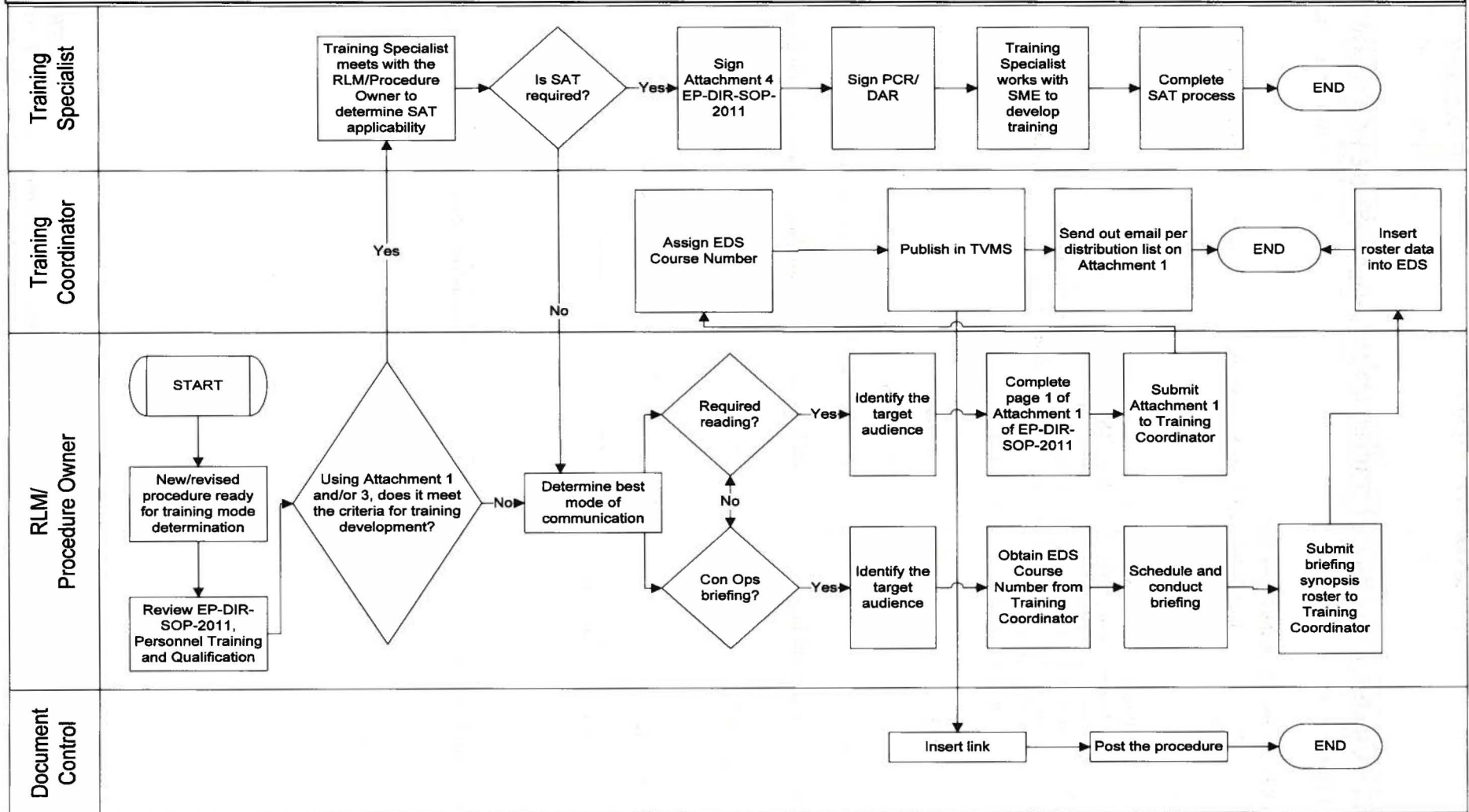
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## APPENDIX 1

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### Determination of Training Need



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## ATTACHMENT 3: BRIEFING SYNOPSIS AND ROSTER

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Records Use only

### Instructions:

- The briefing attendance roster can be used to document briefing information as well as lessons learned that must be communicated to personnel in a live setting so adequate discussion and question/answer sessions can take place.
- Briefing number and credit is given in EDS after submission of form to EP Training Team.
- When an institutional roster (i.e. RWP, IWD, SSHASP) is used for a briefing please attach the roster to this form and on Briefing Title write "see attached".

### Briefing Determination Guidelines

ANSWER the following regarding the training required for the task, and CHECK "YES" or "NO". A briefing may not be appropriate if any of the following are checked "YES".

YES NO

- |                          |                          |  |
|--------------------------|--------------------------|--|
| <input type="checkbox"/> | <input type="checkbox"/> | This is a new document/procedure.  |
| <input type="checkbox"/> | <input type="checkbox"/> | There are changes to the Safety Basis/TSR activities.  |
| <input type="checkbox"/> | <input type="checkbox"/> | There is a driver to this specific document/procedure that mandates formal training.               |
| <input type="checkbox"/> | <input type="checkbox"/> | It has hazardous activities that would require formal training.                                    |
| <input type="checkbox"/> | <input type="checkbox"/> | It is used for initial or continuing training as part of a qualification or certification program. |
| <input type="checkbox"/> | <input type="checkbox"/> | It includes a formal test, quiz or demonstration.  |
| <input type="checkbox"/> | <input type="checkbox"/> | It needs to be repeatable and consistently delivered.  |
| <input type="checkbox"/> | <input type="checkbox"/> | It lasts longer than two hours.  |
| <input type="checkbox"/> | <input type="checkbox"/> | It affects any existing formal training.   |

RLM Print Name

Signature

Z#

Date

If all of the above are answered "NO", the RLM shall complete the remainder of Attachment 3.

If any of the above are answered "YES", a briefing may not be appropriate, and Training should be notified.

**Briefing Title:**

**Briefing Number:**

**Presenter's Name (Print)**

**Presenter's Signature**

**Briefing Purpose, Objectives, Description:**

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## ATTACHMENT 3: BRIEFING SYNOPSIS AND ROSTER

2011-3 (page 2 of 2)

Records Use only

### BRIEFING REVIEW AND APPROVAL

**Justification for deviation from guidelines:**

Note: Training Manager's concurrence is required if any of the Briefing Determination guidelines were answered "YES".

\_\_\_\_\_  
Training Manager Name (Print)

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Z#

\_\_\_\_\_  
Date

### Briefing Roster

Print Name	Signature	Z#	Date

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## ATTACHMENT 4: DOCUMENT/PROCEDURE REVIEW FOR SYSTEMATIC APPROACH TO TRAINING (SAT) APPLICABILITY

2011-4 (page 1 of 1)

Records Use only

Document Title and Document Number:

Document Owner/SME Name:

1. Is there a specific driver that mandates training?  Yes  No

If "yes" SAT is applicable. Identify driver: \_\_\_\_\_  
 If "no" continue with analysis to determine if SAT is applicable.

2. Could the audience perform the task/activity based on their current knowledge, skills or abilities?  Yes  No

If "yes" SAT is not applicable. Transmission of information can be handled in a less formal manner (i.e. required reading, briefing, discussion, etc.) in accordance with P315, Conduct of Operations Manual.

If "no" SAT is applicable.

3. Are there new skills or knowledge the document owner/SME wants the audience to be able to perform?  Yes  No  
 (For example, operating new machines, using new procedures, or using existing procedures with major changes)

If "yes" SAT is applicable. Continue with analysis.

If "no" SAT is not applicable.

4. Has the audience been trained previously on the document/procedure?  Yes  No

If "yes"

Identify EDS #: \_\_\_\_\_

Does SAT documentation exist?  Yes  No

Revise SAT documentation as necessary.

If "no"

SAT is applicable.

Are other non-training options appropriate?  Yes  No

If "no", SAT is applicable.

5. Is there new information that is a "minor" change to existing knowledge or information?  Yes  No

For example, a minor change to a procedure or policy.

If "yes" SAT is not applicable. Transmission of information can be handled in a less formal manner (such as required reading, briefing, discussion, etc.) in accordance with P315, Conduct of Operations Manual.

If "no" SAT may be applicable if new information is a major change. Continue with analysis to determine SAT applicability.

### Determination/Recommendation

If training is warranted, does it impact an effective qualification and/or certification?  Yes  No

If "yes", identify the qualification and /or certification: \_\_\_\_\_

\_\_\_\_\_  
RLM (Print)

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Z#

\_\_\_\_\_  
Date

\_\_\_\_\_  
Training Specialist (Print)

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Z#

\_\_\_\_\_  
Date

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