



Rocky Mountain
Remediation Services L L C
protecting the environment

INSTRUCTION

Development, Use and Control of
List of Qualified Individuals (LOQI)

INSTR 004
Revision 2
Date Effective 09/15/98
Page 1 of 12

APPROVED _____ S K Ellis
S K Ellis Compliance Training Manager

1 PURPOSE

This work instruction is an implementing document for the nuclear facility, project and program training and qualification program established by the RMRS Training Manual (RTM) and the RMRS Directive OPS DIR 007 List of Qualified Individuals. These documents require RMRS nuclear facilities to use a List of Qualified Individuals (LOQI) for positions requiring training and qualification (T&Q) as identified in the facility's Training Implementation Matrix (TIM) Appendix 2. The work instruction serves as the explanation for the development, use, and control of the List of Qualified Individuals (LOQI). The LOQI is used as a means to document the training and qualification status for RMRS personnel. An LOQI should also be used for non-TIM-applicable projects, programs, and operations in which training is a key element of the established health, safety, and quality programs for the activity. It is a non-QA record, but since it is used as an administrative record, each LOQI should be kept on file for one year.

This instruction also describes the application of Site access training requirements for nuclear facilities to personnel entering RMRS TIM applicable nuclear facilities.

2 SCOPE

This work instruction applies to all RMRS nuclear facility, project, support program, and operation positions and tasks which require training or qualification as designated in nuclear facility specific TIM appendices and health, safety, and/or quality program documentation for non-TIM applicable activities.

3 WORK INSTRUCTION APPLICATION REQUIREMENTS

3.1 LOQI REQUIREMENTS

3.1.1 Mandatory

An LOQI must be maintained by RMRS operated nuclear facilities, projects, and programs for all positions and tasks where training or qualification is designated in the respective nuclear facility TIM Appendix 2. LOQI information must be provided to facility management in RMRS TIM applicable nuclear facilities by RMRS supporting program management (e.g. maintenance) for their personnel. LOQI information must also be provided for RMRS personnel supplied to positions and performing tasks in TIM applicable nuclear facilities managed by other Site contractors. LOQIs must be updated monthly and maintained by the responsible manager (line manager) for all tasks relative to individual assigned positions.

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ADMIN RECORD
SW-SW-A-00000

3 1 2 Recommended

Development and administration of LOQIs for non-nuclear facility projects programs and other operations and closure support activities is strongly recommended. A properly developed and well maintained LOQI is an essential management tool for safety and achievement of quality objectives.

3 2 FACILITY ACCESS REQUIREMENTS

3 2 1 RMRS-Operated Nuclear Facilities

In RMRS-operated nuclear facilities, access training requirements are mandatory for all personnel, per this Instruction.

3 2 2 Non-RMRS-Operated Facilities

In non-RMRS nuclear facilities, the access requirements of the Site contractor responsible for the building apply.

4 DEFINITIONS

Entry Requirements A posting of training and qualifications requirements for entry into a nuclear facility.

Entry Log A document used by personnel entering a facility / building to attest to the status of their building access training.

Controlled Distribution Distribution of the (LOQI) document to RMRS Facility Managers listed as controlled copy holders, requires receipt acknowledgment (TUM Rev 1).

Deficiency Training or qualification element which is required but not completed, and training or qualification past due for retraining on the date of issuance of the LOQI.

Individual Employee Profile A list of training categories and individual courses specific to an employee based on job requirements.

List of Qualified Individuals A list of personnel who are trained and qualified in a specific facility, area, job category, or process. This is the required method of identifying personnel authorized for the task(s).

Responsible Manager / Facility The manager directly responsible and accountable for facility personnel and operations within an RMRS nuclear facility, including T&Q and maintaining the facility LOQI.

Responsible Manager / Projects, Support Programs, and Operations The RMRS projects, support programs and operations manager directly responsible and accountable for supplying trained and qualified individuals to a nuclear facility and documenting their training and qualification status in LOQI information.

Training Coordinator An individual who is delegated responsibility by line management for the tracking, scheduling, and documentation of training and qualifications required for facilities, projects, support programs, and operations personnel.

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Training Implementation Matrix (TIM) The TIM comprises the RMRS Narrative and facility specific compliance matrices used to document the compliance status with DOE Order 5480 20A. The TIM describes how compliance is achieved for training and qualification of personnel in positions that influence nuclear safety at RMRS nuclear facilities. The TIM is approved by DOE Rocky Flats Field Office.

Training Implementation Plan (TIP) The document which details the training and qualification requirements including core training, job-specific training and position- or task-specific qualification documents for personnel in positions identified in the TIM relative to each nuclear facility. As such, the TIP is the primary implementing document for the RMRS TIM and for other Site Contractor TIMs when they reference positions occupied by RMRS personnel.

Training Requirements Table (TRT) The section of the Training User's Manual (TUM) which identifies the Site training courses offered, retraining frequency and applicable audiences for the individuals employed at the Rocky Flats Environmental Technologies Site.

Work Restrictions - Identifies specific position and/or task related work limitations based on a deficiency.

5 IMPLEMENTATION INSTRUCTIONS

5.1 LOQI FLOW DIAGRAM

5.1.1 Development Use and Control (see Appendix #1)

5.2 LOQI INFORMATION

5.2.1 Required Information for Facility Projects and Program Personnel (See example in Appendix #2)

- Applicable functional levels and position titles of personnel per applicable TIP
- Names of personnel holding titles
- List of the training and qualification due per individual for current month by due date and the scheduled date for retraining/requalification
- List of deficient training and qualification and the scheduled dates for retraining/requalification
- Attached list of work restrictions based on training or qualification deficiencies as identified in Appendix #3 and/or in Section 5.3 Development of Work Restrictions

Note (1) LOQI information is determined by the required Training Implementation Plan (TIP) core and job specific [Appendix 1 and 2] T&Q requirements and the IEP requirements for the position and/or task to which personnel are assigned.

5.3 DEVELOPMENT OF WORK RESTRICTIONS

Work restrictions are activity limitations which are based on personnel class delinquencies, new assignments, and additions or deletions. The restrictions identify specific positions and/or task related work limitations. These restrictions are to be utilized by the RMRS Responsible Manager to prevent an employee from performing work for which they have a training or qualification deficiency. A sample list of standard work restrictions is provided in Appendix #3. Work restrictions for specialized positions or tasks not identified in Appendix #3 must be reviewed and documented on a case-by-case basis by the responsible manager. Concurrence must be obtained from the RMRS Training group on case-by-case restrictions which are then approved for use by line management.

5.4 FACILITY ACCESS

5.4.1 Requirements

Entry requirements are based on the minimum training requirements as described in the Rocky Flats Environmental Technologies Site Training Requirements Manual (1-S52-T&Q-TR 004) available on the NT Server, Zone 060, T&Q Server/060, Training Share, Building Entry Requirements.

5.4.2 Entry Procedure

The following entry procedure shall be followed:

1. Individuals who are not on the current LOQI are considered visitors and must review posted access training requirements and sign in on the Visitor's Entry Log indicating their access training status.
2. All personnel whose position descriptions are listed in the TIM but who are not on the LOQI, must contact the facility manager (or applicable technical manager or project manager in non-RMRS-operated facilities) before proceeding to an assigned work area regardless of their company affiliation.
3. Individuals who do not meet building access training requirements must notify facility management before proceeding beyond the sign-in point and must be escorted per the RTM, Section IV, G4. The sign-in point is maintained prior to the first point where entry into a controlled area occurs.

5 5 RESPONSIBILITIES AND DUTIES

5 5 1 Project Support Program and Operation Managers

5 5 1 1 Responsibilities

- Review training and qualification (T&Q) program for personnel under his/her management with Training Coordinator to ensure that specific T&Q needs are met for the affected positions and personnel assigned to the facility project support program and/or operation
- Work with the Training Coordinator to identify track and schedule personnel training and qualifications for the facility project supporting program and/or operation in which personnel are assigned
- Work with the Training Coordinator to maintain / up-date the LOQI information monthly upon issue and provide the information to the facility manager for the area in which personnel are assigned
- Immediately submit any status changes to the Facility Manager of facility in which personnel are assigned that affect the current monthly LOQI information (e.g., work restrictions due to delinquent qualifications new assignments additions deletions, etc.)
- Ensure RMRS subcontractors (e.g. E2 RTG SEG) meet the T&Q requirements and submit LOQI information monthly to the Facility Managers of facilities in which personnel have been assigned
- Communicate with responsible managers facilities projects support programs and/or operations on T&Q entry requirements and core and job-specific T&Q requirements in the TIP

5 5 1 2 Duties

- Review approve and submit LOQI information to nuclear facility management on a monthly basis
- Ensure that LOQI information is constantly available and updated for use
- Consult LOQI when assigning work
- Consult LOQI to verify qualification of workers
- Consult LOQI to determine work restrictions (Appendix #3) applicable due to deficient training or expired qualification

5 5 2 Facility Managers

5 5 2 1 Responsibilities

- Review training and qualification (T&Q) program for personnel under their management (as line manager) with Training Coordinator to ensure that specific T&Q needs are met for the affected positions and personnel
- Work with the Training Coordinator to identify, track and schedule training and qualifications for the facility personnel
- Work with the Training Coordinator to maintain / up-date the LOQI information
- Ensure assigned RMRS subcontractors (e.g. E2 RTG, SEG) meet the T&Q requirements and are included on the LOQIs
- Communicate with responsible managers of projects, support programs, and/or operations who have management responsibility for assigned positions in facility-specific TIM applicable positions on T&Q entry requirements, any other applicable core and job specific T&Q requirements in the TIP and any other conditions or requirements in the facility which may require specialized T&Q
- Per the TUM request LOQI information from other Site Contractor(s) (Safe Site of Colorado, Rocky Flats Closure Site Services, etc), projects, support programs operations whose personnel are assigned to TIM-applicable positions in the RMRS facility
- Incorporate LOQI information provided by other Site Contractor(s), and/or project support program, or operations responsible managers into the facility LOQI information
- Review interim LOQI changes due to work restrictions or new assignments

5 5 2 2 Duties

- Review and approve facility LOQI on a monthly basis
- Ensure that LOQI is constantly available and updated for use
- Consult LOQI to assign work
- Consult LOQI to verify qualification of workers
- Consult LOQI to determine work restrictions (Appendix #3) applicable due to deficient training or expired qualification

5 5 3 Training Coordinator

5 5 3 1 Responsibilities

- Reviews personnel training and qualification (T&Q) program of the facility support program project or operations Manager per building and work area entry requirements and the Training Implementation Plan (TIP) core and job- specific T&Q requirements for the position and/or task in which personnel are assigned
- Assists the support program project or operations manager in providing the monthly LOQI information to the facility in which personnel are assigned
- Compares T&Q requirements with IEPs to determine T&Q due and/or deficient for inclusion in the LOQI
- Assists the support program project or operations manager with the immediate submittal of any status changes that affect the current monthly LOQIs (due to work restrictions or new assignments) to the facility manager of the facility in which personnel are assigned

5 5 3 2 Duties

- Complete LOQI, or LOQI information for responsible manager
- Develop controlled distribution list with input from responsible manager and transmit LOQI or LOQI information
- Provide revision control
- Update LOQI monthly
- Attach restriction list to LOQI upon monthly distribution

6 RECORDS PROCESSING INSTRUCTIONS

Table 6-1, Records Processing

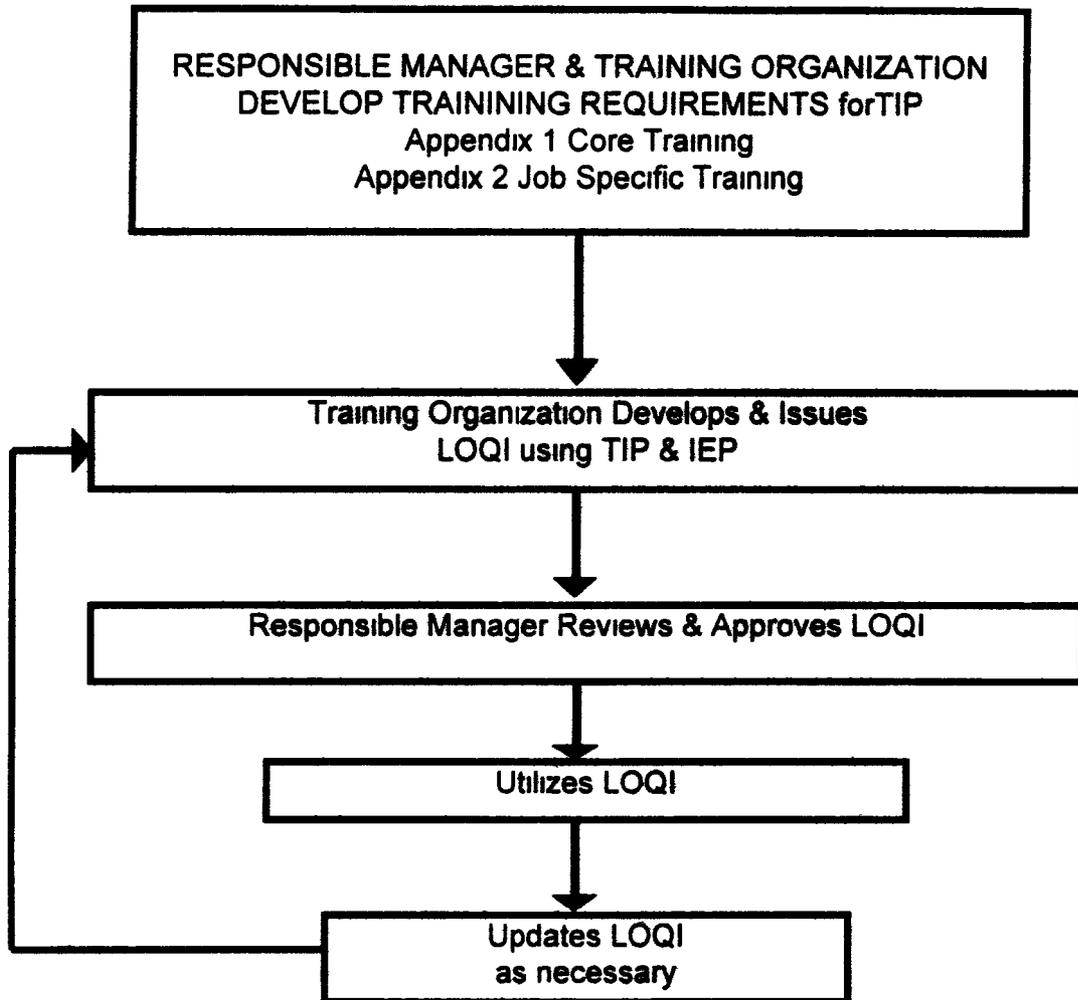
| Record Identification | Record Type Determination | Protection / Storage Methods | Processing Instructions |
|--------------------------------------|---------------------------|--|---|
| List of Qualified Individuals (LOQI) | Non-QA Record | Responsible Manager SHALL implement a reasonable level of protection to prevent loss and/or degradation while in use Documents SHALL be protected utilizing standard office equipment and methods while in use | Responsible Manager retains LOQIs for a period of one year THEN transmit records to RMRS Records Center in accordance with RMRS RM-06 02, Records Identification and Transmittal |

AKU
02/26/99

Appendix 1

FLOW DIAGRAM

RMRS LIST OF QUALIFIED INDIVIDUALS (LOQI)



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**LIST OF WORK RESTRICTIONS BASED
ON TRAINING OR QUALIFICATION DEFICIENCIES**

| TRAINING/QUAL DEFICIENCY | RESTRICTED ACTIVITY |
|--|--|
| Aerial Lift Training | Manual/powered vertical lift/extensible lift operation & supervisors |
| Alarms Sound and Responses-CBT | Unescorted access to the PA or 400/800 areas that contain fiss materials |
| Asbestos Awareness | Unesc entry areas w/asbestos-containing material (actual or presumed) |
| Basic Root Cause Analysis Workshop | ORC Membership |
| Basic Instructor Training Classroom | Delivering formal classroom training |
| Basic Instructor Training-OJT Instructors | Delivering On-The-Job Training |
| Beryllium Operations CBT | Unescorted access to beryllium processing areas |
| Building A Plastic House | Building a plastic house |
| Building Orientation Tour | Unescorted entry into areas of operations of the affected building/area |
| Classroom Design and Development | Design Development of trng materials for classroom training |
| Computer Training Classified Security User | Use of classified computer |
| Computer Training Computer Security Officer | Using computers and acting as Computer Security Officer |
| Computer Training Unclassified Security User | Use of computers |
| Confined Space Entry | Entering a confined space and performing attendant or supervisor duties |
| Controller/Evaluator Training | Performing as EP Drill/Exercise Controllers and/or Evaluators |
| Crane and Hoist Inspection | Crane and Hoist Inspections |
| DOE Basic Transp of Haz Materials | Transportation traffic & packaging and job responsibilities that affect transportation safety |
| DOE Basic Transp of Rad Materials | Transportation traffic & packaging and job responsibilities that affect transportation safety |
| DOT Awareness | Labeling hazardous packages for shipping & transportation |
| Electrical Sfty for Electrical Workers | Performing electrical work |
| Electrical Sfty for Electrical Workers-Requal | Performing electrical work |
| Electrical Sfty for Non Electrical Workers | No restriction |
| Electrical Sfty for Non-Electrical Wkrs Requal | No restriction |
| Electrical Safety-CPR Qualification | Performing electrical work- 3 working together one must be CPR Trained |
| Electrical Safety-CPR Re-Qualification | Performing electrical work- 3 working together one must be CPR Trained |
| Fall Protection | Performing tasks using harness & lanyard devices & ladders (6 ft or more) |
| GET and Refreshers | Unescorted access to Category 1 2 or 3 Nuclear Facilities |
| GERT and Refreshers | Unescorted access to plant site (excluding Radiation Workers and RC I) |
| Glovebox Causal User | Working in or on of gloveboxes or hoods |
| Glovebox Support Activities | Working in or on of gloveboxes or hoods |
| Haz Communications CBT | Unescorted entry to area of exp to haz chems & supervision of personnel |
| Haz Communications Work Area Indoctrination | Unescorted entry to area of exp to haz. chems & supervision of personnel |
| Haz Mat Awareness for First Responders | Unescorted entry to area where may witness/discover a haz substance release & initiation of an emergency response sequence |
| Haz Mat Awareness for First Responders Refr | Unescorted entry to area where may witness/discover a haz substance release & initiation of an emergency response sequence |

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**LIST OF WORK RESTRICTIONS BASED
ON TRAINING OR QUALIFICATION DEFICIENCIES**

| TRAINING/QUAL DEFICIENCY | RESTRICTED ACTIVITY |
|---|---|
| Haz Mat Operations for First Responders | Performance in initial response team for a hazardous substance release |
| Haz Mat Operations for First Resp Refresher | Performance in initial response team for a hazardous substance release |
| Haz Waste Operations (OSHA) 24 or 40 hr | Unescorted entry or work in an hazardous waste area |
| Haz Waste Operations (OSHA)-Refresher | Unescorted entry or work in an hazardous waste area |
| Haz Waste Operations (OSHA) Supervisor | Supervising work with hazardous waste |
| Hearing Conservation CBT | Working in a 85db area for 8 hr time weighted average (with protection) |
| Hoist Apparatus | Using cranes hoists or chainfalls |
| Incident Command | Acting as Incident Commander |
| Incident Command Refresher | Acting as Incident Commander |
| Industrial Truck (Forklift and/or Pallet) | Performing forklift/highlift and/or pallet jack/lowlift operations |
| Integrated Work Control Program | OM/STA/SM designees Maint mgrs memeber of the IWC Team |
| Job Specific Qualifcation Documents | Performing work specified by the qualification document |
| Ladder Safetv Awareness | Perform tasks requiring use of ladders (Fall Protection also covers this) |
| Lead in the Workplace | Working in potential Lead Contamination Exposure area above applicable threshold levels per I H |
| Lockout/Tagout | Performing any lockout/tagout duties |
| Lockout/Tagout Workshop | Unescorted entry into LO/TO areas |
| Medical/Physical | No restrictions |
| Nuc Crit Sfty Fissionable Mat Handlers | Unescorted entry into RBA MAA RMAA |
| Nuclear Crit Sfty Supervisor/Design Personnel | Unescorted entry into RBA MAA RMAA & supervising Nuc Crit tasks |
| Nuc Crit Safetv Support | Unescorted entry into RBA MAA RMAA |
| Nuc Mat Handler & Transporters (NMH&T) | Performing Handler/Transporter designated on access control badge |
| Nuclear Material Safeguards CBT | Unescorted access to an RBA or RMA |
| Occurrence Reporting & Processing Overview | Personnel who require an ORPS passwork |
| Occurrence Reporting Workshop | Calling in occurrences to the EOC |
| ORPS Search Techniques Workshop | Personnel who require an ORPS passwork |
| Painting a Plastic House | Painting of supplied air house |
| Personnel Security Assurance Prog (PSAP) Init | Handling of Category 1 or greater quantities of SNM |
| Personnel Security Assurance Prog (PSAP) Refr | Handling of Category 1 or greater quantities of SNM |
| PremAire Respirator Trng | Use of PremAire supplied air system |
| Pressure Safetv Awareness | Operating maintaining inspecting or transporting 150 psig pressure systems or gas cvlinders up to 4600 psig and supervising these personni |
| Qualified Preparer Workshop | Preparation of Safety Evaluation Prescreens screens and USQDs |
| Radioactive Source Custodian Trng | Performing as a radioactive sources custodian |
| Radioactive Source User Trng | Use of radioactive sources |
| RadCon High Level Trng Suprv of Rad Wkrs | Supervise Rad workers |
| RadCon Manual Trng for Mgrs | No restriction |

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**LIST OF WORK RESTRICTIONS BASED
ON TRAINING OR QUALIFICATION DEFICIENCIES**

| TRAINING/QUAL DEFICIENCY | RESTRICTED ACTIVITY |
|--|--|
| Rad Glovebag Classroom/JPM | Work in Rad glovebags |
| Rad Glovebag Containment User | Work in Rad glovebags |
| Radiation Worker Level I and Requal | Unescorted entry into RBAs or other posted radiological areas |
| Radiation Worker Level II and Requal | Unescorted entry into RBAs or other posted radiological areas |
| RCRA Compliance | Performing any position in the RCRA personnel matrix RCRA Permit |
| RCRA/Waste Generator Annual Training | Maintaining any position in the RCRA personnel matrix RCRA Permit |
| RCRA Organic Air Emissions Qualification | Performing RCRA Organic Air Emissions inspections |
| RCRA Tanks Custodian | Completing the RCRA qualification |
| RCRA Waste Management | Completing the RCRA qualification or acting as RCRA Unit Owner |
| RCRA Waste Management Qualification | Performing RCRA inspections/transfers to or from a RCRA tank |
| Respirator Fit | Wearing a respirator |
| Respirator Indoctrination | Completion of a Respirator Fit |
| Respirator Indoc Mgrs & Issuers of Respirators | Completion of a Respirator Fit |
| RF Safety Review Systems | Act as ORC member prepare safety eval prescreens screens USQDs |
| Rocky Flats Qual Process | Signature as OJT instructor or Qualification Examiner on qual document |
| Scaffold Safety | Working on/using scaffolds |
| SCBA | Performing SCBA tasks |
| TID | Applying or removing TIDs or obtaining TIDs from NMC |
| USQD Process Overview | Act as ORC member prepare safety eval prescreens screens USQDs |
| Waste Determination/WSRIC | Completing the Waste Generator qualification |
| Waste Generator All Areas Classroom Trng | Completing the Waste Generator qualification |
| Waste Generator All Areas Qualification | Generating or packaging waste or signature of WR/Ts |
| Welding Safety | Work around or use of welding equipment standing fire watch for welding operations supervisors of these personnel |
| Working Safely/w X-ray Radiation | Work with radiation generating devices |