



Rocky Mountain  
Remediation Services L.L.C.  
protecting the environment

# INSTRUCTION

Development and Use of  
Qualification Documents (QDs)

INSTR 006

Revision 0

Date Effective 12/31/97

APPROVED FOR USE W D Reinhart /S/  
W D Reinhart, Training Programs Manager

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## 1 PURPOSE

This work instruction provides guidelines and instructions for the development and use of Qualification Documents (QDs) which provide formal documentation that candidates have met the minimum training and qualification requirements for specified positions or tasks. Such documentation of qualification is a requirement of DOE Order 5480 20A, *Personnel Selection Qualification and Training Requirements for DOE Nuclear Facilities* (hereinafter, the DOE Order).

## 2 SCOPE

This work instruction applies to all RMRS nuclear facility, project, support program and operation positions and tasks which require qualification and/or requalification to perform work on specific tasks especially formal qualification/requalification as designated by the acronym QD in the nuclear facility-specific Training Implementation Matrix (TIM), Appendix 2. The new format applies to all QDs issued after the effective date and to all revisions of existing QDs which involve revision to the content and full document re-issue (as opposed to a simple page change). The QD format may also be used as a means to document qualification in other settings (e.g. tasks driven by regulatory requirements and nuclear operations where formal documentation is not mandated in the RMRS TIM).

## 3 DEFINITIONS

### Job and Task Analysis

The process which identifies and defines the tasks involved for the specified operations, the type of training indicated, the knowledge requirements, safety hazards, and continuing training components and standards that should be included in the training programs.

### Basis of Qualification

The Basis of Qualification defines the required knowledge and/or skills for qualification and covers areas such as theoretical knowledge verification, performance standards, and procedure knowledge verification.

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<u>Qualification Checklist</u>	A list used to document completion of a performance evaluation of items necessary for a specified position or task
<u>Qualification Document</u>	The formal record of a candidate's participation in meeting identified training and qualification requirements for a specified position or task. <b>The QD comprises the Qualification Checklist, a Cover Sheet, a Review and Approval Sheet, and the Basis of Qualification</b> Previously the QD was known as the Qualification Standard Package (QSP)
<u>List of Qualification Examiners</u>	A list of individuals assigned by the responsible manager who are authorized to sign specific elements of the QD

#### 4 RESPONSIBILITIES

##### 4.1 Responsible (Facility, Project or Technical) Manager

- Identifies the individuals authorized to sign specific elements of the facility QDs on a List of Qualification Examiners (see INSTR.009)
- Approves the QD and ensures that only authorized Qualification Examiners sign the elements of the QDs for that facility
- Signs and dates original List of Qualification Examiners and issues as a controlled document

##### 4.2 Training Manager

- Ensures that on-the-job training (OJT) is conducted by OJT instructors who are qualified in accordance with INSTR 009
- Determines training and qualification requirements for QDs within the nuclear facility operating organization receiving input from training coordinator and instructor/developer as necessary

##### 4.3 Training Coordinator

- Signs and dates the Basic Training section after verifying that all of the requirements listed in the TIP have been met

##### 4.4 Training Instructor/Developer

- Executes and coordinates delivery of the training and qualification elements which make up the QDs

Issues QDs

- Assists the Responsible Manager in developing the QD

## 5 INSTRUCTIONS

### 5.1 Development Of Qualification Documents

The QD defines the training and qualification requirements that shall be completed before a candidate is considered qualified and provides formal documentation that he/she has successfully met these requirements. The QD comprises the following sections:

#### 5.1.1 Cover Sheet

The Cover Sheet shall provide the following information:

- Title of Document (based on specific position or task)
- Course Number / Revision Number
- Name, employee number, job title and building number of person being qualified
- Name and employee number of supervisor of employee being supervised
- Final Qualification Statement, Qualification Authority signature, and date

#### 5.1.2 Review and Approval Sheet

The Review and Approval Sheet creates a record of accountability for the package content and shall provide the following information:

- Course Coordinator/Developer
- Subject Matter Expert(s) (SMEs)
- Review authorities (management from appropriate involved disciplines)
- Approval Authorities (responsible management)

#### 5.1.3 Qualification Checklist

The Qualification Checklist is a checklist used to document completion of training items necessary for a specified position or task. Each Qualification Checklist shall be tailored to the requirements set forth in the Job and Task Analysis (JTA) for the given position or task. The Qualification Checklist is divided into the following modules as applicable:

##### 5.1.3.1 Basic Training

Basic Training is training that is job specific or that allows the candidate access within the areas where he/she will be assigned to work. Examples of this are GET Radiation Worker, Nuclear Material Safeguards, Hoists, etc. In cases where specific requirements are identified within a Training Implementation Plan (TIP), a statement signed and dated by the Training Coordinator (or designee) shall be included in the Qualification Checklist which states that the candidate has a QPT consistent with the TIP and is currently trained in all training courses which are pre-requisites for the performance of the qualification.

For situations in which there is no TIP, the specific basic training requirements for the qualification shall be listed in the Qualification Checklist by course title, course number, signature of Training Coordinator (or designee), and date.

#### 5 1 3 2 Formal Training

Formal Training is training that addresses initial fundamentals or job-related material such as Authorization Basis and Occurrence Reporting. Job-specific training also falls into this category (e.g., a course on "Miscellaneous Aqueous Waste Handling and Solidification"). This is presented as classroom training, briefings, required reading, self study, etc., that are identified within the TIP.

#### 5 1 3 3 Theoretical Knowledge Verification

Theoretical Knowledge Verification is accomplished by means of an oral examination by an OJT instructor or qualification examiner to verify knowledge of theory of operations, understanding of procedural steps, etc., as applicable to the position and/or task. Refer to RMRS INSTR 011, *Design/Development of Training Materials* for the application and use of oral examinations.

#### 5 1 3 4 Walk-throughs

A qualified OJT instructor and the training candidate will walk through and study normal and abnormal conditions in the work area, discussing the functioning of equipment and/or processes within the work area, and any necessary, immediate actions to overcome casualty situations.

#### 5 1 3 5 On-the-Job Training

The purpose of this process is to have the candidate spend time on the job under differing operating conditions to become familiar with all aspects of operations. The candidate is instructed on operations in which he/she is expected to be proficient. Responsible management, in conjunction with the Training Manager, shall ensure that OJT is conducted by qualified OJT instructors in accordance with RMRS INSTR 009 *Qualification and Evaluation of Training Personnel*. The preferred SME for conducting OJT is the candidate's direct supervisor.

#### 5 1 3 6 Performance Demonstrations

Performance demonstrations require the training candidate to satisfactorily demonstrate the ability to perform the tasks learned in OJT and facility walk-throughs. An OJT instructor (different from the instructor who performed OJT) evaluates and documents the candidate's performance in the QD.

#### 5 1 3 7 Review

The QD is reviewed by the candidate's supervisor and the Training Coordinator to check for completeness. If applicable, a final oral or written examination may be administered by the Qualifying Authority. If an oral examination is administered, the interview questions must be documented. After verifying that all sections of the QD are complete and that all questions on the final examination (if one is administered) have been answered satisfactorily, the Qualifying Authority signs the Final Qualification Statement on the coversheet of the QD.

#### 5 1 3 8 Medical Requirements

Medical examinations required for operating organization personnel in accordance with the DOE Order will be conducted and documented by the site Occupational Health Department (OHD) in accordance with the OHD policy and procedure manual. Verification of any medical requirements can be obtained by contacting OHD and documented in the QD.

5 1 4 Basis of Qualification

The Basis of Qualification is the section of the QD which provides documented evidence with signatures and dates that the required knowledge and/or skills for qualification in areas such as theoretical knowledge verification performance standards and procedure knowledge verification have been met Objectives should be clearly stated and documented by the Qualification Examiner indicating a satisfactory level of understanding A comment section should be included to discuss any unsatisfactory responses and actions taken to upgrade the responses to satisfactory

**5 2 Formal Requalification**

Formal requalification is required for personnel in nuclear facility Operator positions and is optional for personnel at other nuclear facility functional levels and in other work areas The evaluation of the candidate for requalification shall include a requalification checklist which shall be tailored to the requirements set forth in the Job and Task Analysis for the given position or task The evaluation of the candidate for requalification may include oral or written tests, performance demonstrations, operational evaluations, or any of the modules described in Section 5 1 3 as applicable All such evaluations shall be documented in the requalification document The requalification document shall include evaluation of the candidate and/or verify training during the two year cycle with respect to changes in work procedures work scope engineered safety features facility mission and industrial experience as applicable to the job position (See also RMRS INSTR 013 *Operating Organization Requirements for Continuing Training Programs*)

**5 3 Use of Qualification Documents**

- 5 3 1 The Qualification Document is used as a record to indicate that an individual has met identified training requirements for a specified position or task
- 5 3 2 Revisions to an individual s Qualification Document or the Qualification Document form itself are handled in accordance with RMRS INSTR 003 *Instructions for Tracking/Scheduling Training and Qualifications and Retention of Records for Training*

**6 RECORDS PROSESSING INSTRUCTIONS**

**6 1 The QD is a QA record document for record-keeping purposes**

6 2 1 The completed original of each individual's QD shall be sent to the Training Records Center and a copy shall be retained for RMRS records in accordance with RMRS INSTR 003

6 2 2 The original of the QD form itself shall be sent to the Training Records Center and a copy **SHALL** be retained for RMRS records in accordance with RMRS INSTR 003

**6 2 The Qualification Document is an In-Process QA document for record-keeping purposes If the Qualification Document pertains to the TWCP TIP or the Low Level Waste Management Plan (Appendix 9), then completed individual CDs are In-Process WIPP/LL/LLM QA documents**

RV 02/26/99

Record Identification	Record Type Determination	Protection / Storage Methods	Processing Instructions
Qualification Document (QD) Form	In-Process Quality Assurance Document	Responsible Manager <b>SHALL</b> implement a reasonable level of protection to prevent loss and/or degradation while in process Documents <b>SHALL</b> be protected utilizing standard office equipment and methods while in process	Continue prescribed processing of document(s)  After approval by the Responsible Manager, transmit all documents to Training Records Bldg 131 in accordance with the Site Training Users Manual
Individual QDs	In-Process Quality Assurance Document  And/or  In-Process WIPP/LL/LLM QA documents	Responsible Manager <b>SHALL</b> implement a reasonable level of protection to prevent loss and/or degradation while in process Documents <b>SHALL</b> be protected utilizing standard office equipment and methods while in process	Continue prescribed processing of document(s)  After approval by the Responsible Manager transmit all documents to Training Records Bldg 131 in accordance with the Site Training Users Manual

**7 REFERENCES**

- DOE Order 5480 20A, *Personnel Selection Qualification and Training Requirements for DOE Nuclear Facilities*
- RMRS INSTR 003, *Instructions for Tracking/Scheduling Training and Qualifications and retention of Records for Training*
- RMRS INSTR 009 *Qualification and Evaluation of Training Personnel*
- RMRS INSTR.011, *Design/Development of Training Materials*
- RMRS INSTR 013, *Operating Organization Requirements for Continuing Training Programs*