



Rocky Mountain
Remediation Services L L C
protecting the environment

PROCEDURE

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

RMRS TR 02 06
Revision 0
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APPROVED:

F. P. Hughes COO and Deputy General Manager

1 PURPOSE

This procedure is an implementing document for the nuclear facility training and qualification program established by the RMRS Training Manual (RTM) and the RMRS Directive OPS-DIR-007 *List of Qualified Individuals*. These documents, as well as the site Training Users Manual (TUM), require RMRS nuclear facilities, including operations, projects, and direct support programs, 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 procedure serves as the explanation for the development, use, and control of the List of Qualified Individuals (LOQI) and replaces Work Instruction 004 *Development, Use and Control of List of Qualified Individuals (LOQI)*. The LOQI is used as a means to document the training and qualification status for RMRS personnel.

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

2 SCOPE

This procedure applies to all RMRS nuclear facility operation, project, and support program positions and tasks that require training and qualification as designated in nuclear facility-specific TIM appendices. This procedure 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.

3 PROCEDURE APPLICATION REQUIREMENTS

3.1 LOQI REQUIREMENTS

3.1.1 Mandatory

RMRS-operated nuclear facilities, projects, and programs for all positions and tasks where training and qualification is designated in the respective nuclear facility TIM Appendix 2 must maintain a LOQI. 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

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personnel supplied to positions and performing tasks in TIM-applicable nuclear facilities managed by other Site contractors. In addition, requests must be made for LOQI information from other site contractors performing work in RMRS facilities. LOQIs must be updated monthly and maintained by the responsible manager (line manager) for all tasks relative to individual assigned positions.

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 achievement of safety and 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 Procedure.

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 copyholders, 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

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) - a document which details the training and qualification requirements including core training job-specific training and position or task-specific qualification and requalification 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 *LOQI information is determined by the required Training Implementation Plan (TIP) core job specific, and requalification T&Q requirements (Appendices 1, 2 and 3), and the IEP requirements for the position and/or task to which personnel are assigned.*

NOTE *Training status may be documented using an equivalent process*

5.3 DEVELOPMENT OF WORK RESTRICTIONS

Work restrictions are activity limitations that 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 Users Manual (1-S52-T&Q-TR-004), available online at Network Neighborhood, Entire Network, Rfeta_fs, Fssrv3, rf_trng, TUM

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 visiting or temporary workers who are not on the LOQI must contact the facility manager, CCA, or shift manager (or applicable technical manager or project manager in non-RMRS-operated facilities) before proceeding to an assigned work area to ensure they meet LOQI training requirements for the facility and task(s)

- 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 that the T&Q requirements are met by RMRS subcontractors (e.g. E2 RTG SEG) 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 upon request 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/Closure Project 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 Sites of Colorado, Rocky Flats Closure Site Services, etc.), projects, support programs, and 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 prompt 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

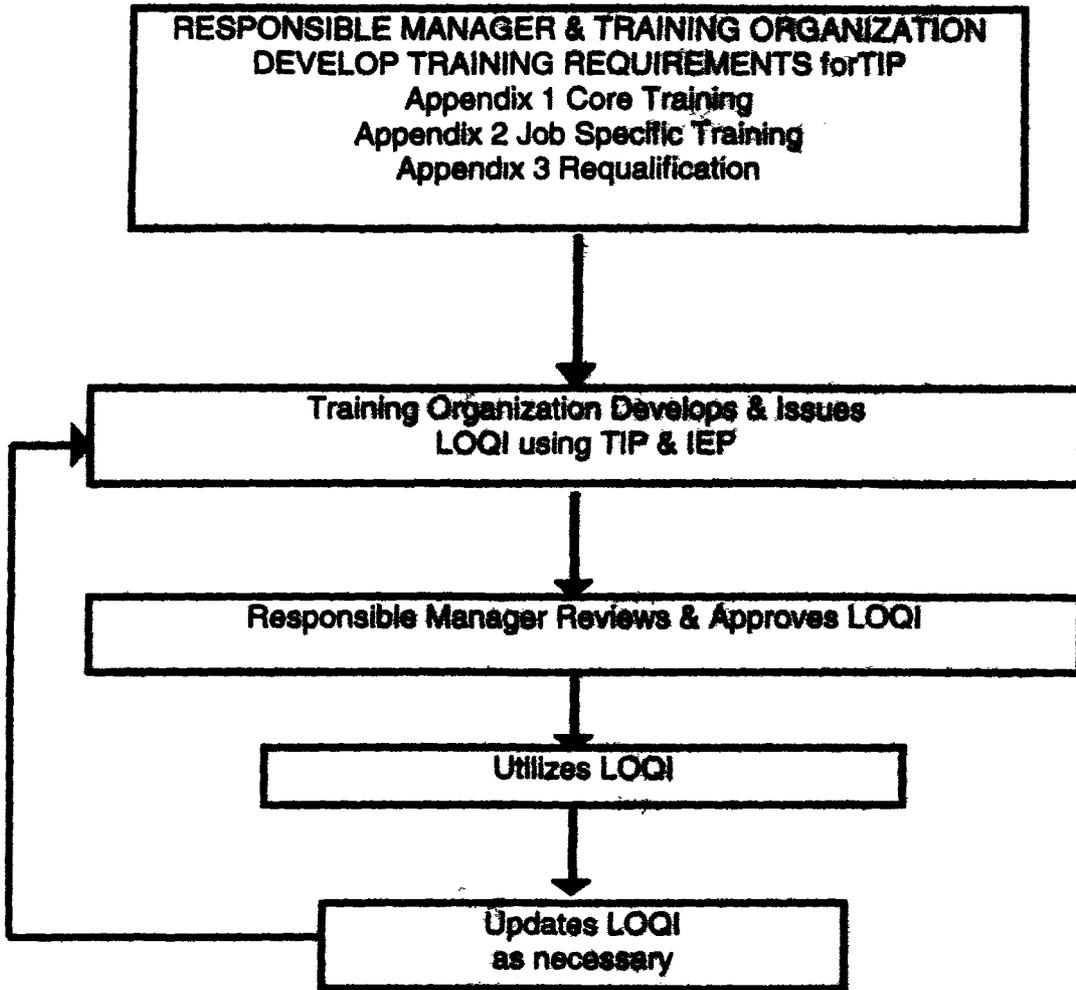
- Complete LOQI or LOQI information for responsible manager
- Develop controlled distribution list with input from responsible manager and transmit LOQI or LOQI information
- Provide revision control
- Update LOQI monthly
- Attach restriction list to LOQI upon monthly distribution

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

APPENDIX #1 - FLOW DIAGRAM
RMRS LIST OF QUALIFIED INDIVIDUALS (LOQI)



Appendix #3

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

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TRAINING/QUAL DEFICIENCY	RESTRICTED ACTIVITY
Aerial Lift Training	Manual/powerd vertical lift/extendable lift operation & supervisors
Alarms Sound and Responses-CBT	Unescorted access to the PA or 400/800 areas that contain fissile materials
Asbestos Awareness	Unescorted entry to 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 training material 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 computer
Confined Space Entry	Entering a confined space and performing attendant or supervisor duties
Controller/Evaluator Training	Performing as EP Director, Controller and/or Evaluators
Crane and Hoist Inspection	Crane and Hoist Inspection
DOE Basic Transport of Hazardous Materials	Transportation, traffic & packaging and job responsibilities that affect transportation safety
DOE Basic Transport of Radioactive Materials	Transportation, traffic & packaging and job responsibilities that affect transportation safety
DOT Awareness	Labeling hazardous packages for shipping & transportation
Electrical Safety for Electrical Workers	Performing electrical work
Electrical Safety for Electrical Workers-Requal.	Performing electrical work
Electrical Safety for Non-Electrical Workers	No restriction
Electrical Safety for Non-Electrical Workers-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 RCTs)
Glovebox Casual Use	Working in or on of gloveboxes or hoods
Glovebox Support Activities	Working in or on of gloveboxes or hoods
Hazardous Communications CBT	Unescorted entry to area of exp. to hazardous chems. & supervision of personnel
Haz. Communications Work Area Re-orientation	Unescorted entry to area of exp. to hazardous chems. & supervision of personnel
Haz Mat. Awareness for First Responders	Unescorted entry to area where may witness/discover a hazardous substance release & initiation of an emergency response sequence
Haz Mat. Awareness for First Responders Refresher	Unescorted entry to area where may witness/discover a hazardous substance release & initiation of an emergency response sequence

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

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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 designee, Maint mgrs, member of the IWC Team
Job Specific Qualification Documents	Performing work specified by the qualification document
Ladder Safety 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 Cnt Safety /Fissionable Mat Handlers	Unescorted entry into RBA MAA RMAA
Nuclear Crit Safety Supervisor/Design Personnel	Unescorted entry into RBA MAA RMAA & supervising Nuc Cnt tasks
Nuc Cnt Safety 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	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) Int	Handling of Category 1 or greater quantities of SNM
Personnel Security Assurance Prog (PSAP) Ref	Handling of Category 1 or greater quantities of SNM
PremAire Respirator Trng	Use of PremAire supplied air system
Pressure Safety Awareness	Operating maintaining inspecting or transporting 150 psig pressure systems or gas cylinders up to 4600 psig and supervising these personnel
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 Wkers	Supervise Rad workers
RadCon Manual Trng for Mgrs	No restriction

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

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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 operational matrix, RCRA Permit
RCRA/Waste Generator Annual Training	Maintaining any position in the RCRA operational matrix, RCRA Permit
RCRA Organic Air Emissions Qualification	Performing RCRA Organic Air Emissions qualification
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 operations/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 preccreens, screens, USQDs
Rocky Flats Qual Process	Signature as Director of Qualification Examiner on qual documents
Scaffold Safety	Working on/using scaffolds
SCBA	Wearing SCBA tanks
TID	Applying for removing TIDs or obtaining TIDs from NMC
USQD Process Overview	Act as ORC member, prepare safety eval preccreens, 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	Waste packaging waste or signature of WR/Ts
Welding Safety	Work around or use of welding equipment, standing fire watch for welding operations, supervisor of these personnel
Working Safely/w X ray Radiation	Work with radiation generating devices

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