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## OFFICE OF CIVILIAN RADIOACTIVE WASTE MANAGEMENT QUALITY ASSURANCE ADMINISTRATIVE PROCEDURE

Title:

INDOCTRINATION AND TRAINING

Procedure No.:

QAAP 2.1

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2

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Page

1 of 14

Concurrence

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### 1.0 PURPOSE

This procedure establishes responsibilities and directions for the indoctrination and training of Headquarters (HQ) personnel working in support of the Office of Civilian Radioactive Waste Management (OCRWM) Program.

### 2.0 SCOPE

This procedure applies to the indoctrination and training of HQ OCRWM personnel, including consultants and direct support contractor personnel, assigned to perform activities subject to quality assurance program controls under the OCRWM Quality Assurance Program.

### 3.0 REFERENCES AND DEFINITIONS

#### 3.1 REFERENCES

3.1.1 *Quality Assurance Requirements Document (QARD), DOE/RW-0214.*

3.1.2 *Quality Assurance Program Description Document (QAPD), DOE/RW-0215.*

#### 3.2 DEFINITIONS

3.2.1 Classroom Training - A method of training characterized by formal instruction presented in a classroom environment by a qualified instructor using a lesson plan. This instruction may be a lecture, modified lecture, seminar or workshop format.

3.2.2 Indoctrination - An orientation designed to familiarize personnel with documents, requirements, regulations, and policies applicable to assigned job activities.



- 3.2.3** Learning Objective - A statement that specifies measurable behavior that a trainee should exhibit after instruction, including the conditions and standards for performance, when necessary.
- 3.2.4** Maintenance of Proficiency - Those actions required to sustain the ability to perform tasks in accordance with QA Program Controls. Proficiency may be maintained by self study, classroom training, or ongoing task performance.
- 3.2.5** Non-Permanent Personnel - Persons whose job assignment in support of OCRWM is expected to be less than three (3) months.
- 3.2.6** QA Training Officer - That person who is directly responsible for the development, coordination, and implementation of the indoctrination and training program.
- 3.2.7** Self-Study - A method of training, used by an individual or a group, in which the pace of training is controlled by the trainee and guided by the program materials. This includes mandatory reading assignments.
- 3.2.8** Supervisor - Any person who directs the activities of one or more subordinates.
- 3.2.9** Training - A systematic process designed to assure that personnel possess the knowledge and skills necessary to perform assigned job functions. Achievement and maintenance of proficiency in performing an assigned task is the desired result of training.
- 3.2.10** Training Program - A planned, organized sequence of training steps designed to prepare individuals to perform assigned activities. This process produces documentation testifying that personnel performing activities subject to quality assurance program controls are proficient in the principles, techniques, and requirements of the activity being performed.
- 3.2.11** Definitions of other quality assurance related terms may be found in the Glossary contained in reference 3.1.1.

#### **4.0** RESPONSIBILITIES

##### **4.1** DIRECTOR, OFFICE OF QUALITY ASSURANCE

- 4.1.1** Developing and implementing an indoctrination and training program for personnel performing activities subject to quality program controls; and
- 4.1.2** Developing and maintaining this QAAP.



**4.2 HEADQUARTERS QUALITY ASSURANCE DIVISION DIRECTOR (QADD)**

The HQ QADD is responsible for supervision of the QA Training Officer.

**4.3 SUPERVISORS**

Supervisors are responsible for:

- 4.3.1 Evaluating and determining initial and continuing indoctrination and training (I&T) needs of assigned personnel;
- 4.3.2 Documenting and approving I&T requirements for personnel within their organizations;
- 4.3.3 Providing signatory approval of completed I&T requirements on the "Indoctrination and Training Matrix";
- 4.3.4 Ensuring that assigned personnel complete requirements on a timely basis, and providing quarterly updates of assigned staff I&T status to the QA Training Officer; and
- 4.3.5 Reviewing and updating I&T requirements when the position or job duties of new or previously assigned personnel change.

**4.4 QA TRAINING OFFICER**

The QA Training Officer is responsible for:

- 4.4.1 Assuring that a systematic approach to training is developed and implemented;
- 4.4.2 Assuring that I&T requirements are identified;
- 4.4.3 Assuring that lesson plans are prepared and approved prior to conduct of classroom training;
- 4.4.4 Developing an I&T schedule and distributing the schedule to appropriate organizations;
- 4.4.5 Assisting supervisors to ensure that I&T requirements are fulfilled;
- 4.4.6 Maintaining and controlling access to and the packaging of Privileged records;
- 4.4.7 Entering I&T documentation into the OCRWM records management system; and



4.4.8 Issuing periodic reports reflecting the status of the Headquarters I&T program, notifying personnel, either directly or via supervisors, of changes in I&T program requirements, or other actions or information, as necessary.

4.5. INSTRUCTORS

Instructors are responsible for:

4.5.1 Developing I&T materials; and

4.5.2 Conducting and documenting classroom training.

4.6. EMPLOYEES

Employees are responsible for:

4.6.1 Completing all I&T assignments;

4.6.2 Documenting the completion of I&T assignments; and

4.6.3 Providing quarterly updates of I&T activities to their supervisor.

5.0 GENERAL

5.1 INDOCTRINATION AND TRAINING PROGRAM

5.1.1 I&T may include classroom training or self-study.

5.1.2 Lesson plans based on learning objectives shall be used to conduct classroom training. The lesson plan shall be used to provide guidance and structure to the training program and to assure consistent conduct of training activities.

5.1.3 Learning objectives for classroom training shall:

a) Identify training content; and

b) State the actions the trainee should be capable of demonstrating and when appropriate, the conditions under which the demonstration would take place, and the standards of performance the trainee should be able to achieve.

5.2 PREPARATION OF INDOCTRINATION AND TRAINING REQUIREMENTS

5.2.1 I&T requirements essential to the performance of assigned tasks shall be identified on the I&T Matrix. For these requirements, the employee shall be required to complete the assigned self-study and classroom training.



5.2.2 The choice of whether to specify self-study or classroom training to fulfill the requirements remains with the supervisor, but should be based on a consideration of:

- a) The complexity of the activity described;
- b) The need for consistency of interpretation; and
- c) The education, experience, and initial proficiency of the employee.

5.3 PERSONNEL INDOCTRINATION REQUIREMENTS

As a minimum, personnel shall receive indoctrination in the following subjects:

- a) General criteria, including any applicable codes, standards and regulations, commensurate with their scope of work responsibilities;
- b) The purpose, scope and implementation of applicable quality program documents, instructions and procedures; and
- c) Program responsibilities and authority.

5.4 PERSONNEL TRAINING REQUIREMENTS

5.4.1 Personnel shall receive training to achieve and maintain proficiency for their position.

- a) Achievement of proficiency in an assigned task shall be accomplished prior to the initial performance of the task.
- b) Maintenance of proficiency shall continue for as long as the individual is assigned to perform the task.
- c) Individuals may perform a given activity subject to quality program controls provided that documentary evidence exists of training to the applicable procedures governing the activity.

5.4.2 Personnel shall receive training necessary to maintain proficiency and to accommodate changes in Program, procedures, methods, job responsibility, or technology.

5.4.3 The extent and frequency of any training shall be commensurate with the scope, complexity, and importance of the activity requiring training.



5.4.4 Supervisors shall inform the QA Training Officer, by memo, of any permanent and non-permanent personnel under their supervision who are performing duties subject to QA Program controls. Those performing such duties require an I&T Matrix.

## 6.0 PROCEDURE

### 6.1 ESTABLISHING INDOCTRINATION AND TRAINING REQUIREMENTS

Supervisors shall establish indoctrination and training requirements for assigned personnel in accordance with Subsections 5.3 and 5.4.

### 6.2 PREPARATION OF A NEW MATRIX OR MATRIX REVISION

6.2.1 The supervisor shall prepare an initial or revise an existing I&T Matrix (Attachment I) whenever:

- a) New personnel are assigned; or
- b) Previously assigned personnel receive a new position or changes to job duties within a position.

6.2.2 The I&T code shall be identified on the I&T Matrix by the supervisor in accordance with the I&T Matrix instructions.

6.2.3 Any requirements which need to be added, deleted, or changed from those required on the initial I&T Matrix shall be identified by the supervisor on a revised matrix.

6.2.4 The supervisor, after listing I&T assignments on an initial or revised matrix, shall forward the original I&T Matrix to the employee and a copy to the QA Training Officer.

6.2.5 The QA Training Officer shall review the I&T Matrix for proper preparation and assure the requirements are entered into the training database.

### 6.3 PREPARATION OF INDOCTRINATION AND TRAINING MATERIALS

6.3.1 The assigned instructor shall prepare a lesson plan (Attachment II) and forward it to the QA Training Officer for approval.

6.3.2 Lesson plans shall be approved by the QA Training Officer.

6.3.3 Training materials shall be updated and revised lesson plans approved as necessary, whenever applicable procedures or learning objectives are revised.



**6.4 SCHEDULING OF INDOCTRINATION AND TRAINING ACTIVITIES**

The QA Training Officer shall notify applicable personnel regarding course offerings, location, and time in advance of scheduled courses.

**6.5 COMPLETION OF INDOCTRINATION AND TRAINING ASSIGNMENTS**

- 6.5.1** Employees shall complete all assigned self-study and classroom training in a reasonable time after assignment. While this requirement is not meant to identify a specific timeframe, employees should strive to complete self-study assignments within thirty (30) work days, and classroom assignments as soon as scheduling allows. In either case, training requirements for a job duty shall be completed prior to performing the duty.
- 6.5.2** Employees shall attend assigned classroom training.
- 6.5.3** Prior to attending classroom training the employee is expected to read any applicable procedures for familiarity.
- 6.5.4** Employees shall sign an attendance record (Attachment III) for classroom training.
- 6.5.5** The instructor shall forward the attendance record to the QA Training Officer for entry into the training database.
- 6.5.6** The employee shall document the completion of self-study requirements on the I&T Matrix by entering the date the reading was done, the effective date of the revision (or the revision number, if no effective date exists), and the employee's initials.
- 6.5.7** The employee shall document the completion of classroom training by signing an attendance record at the time the class is held. The employee should also initial and date the appropriate column on the I&T Matrix, but the initials do not replace the signed attendance record.
- 6.5.8** After completing all self-study and classroom training assignments on the I&T Matrix, the employee shall sign all pages of the I&T Matrix and obtain the supervisor's signature.
- 6.5.9** The supervisor shall review for accuracy and completion and, when satisfied that all requirements have been met, sign all sheets of the I&T Matrix. The supervisor then forwards the completed I&T Matrix to the QA Training Officer.



- 6.5.10 The QA Training Officer shall review the I&T Matrix for completion and assure that the completion data is entered into the training database.
- 6.5.11 Subsequent documentation of completed self-study and classroom training shall be made on a separate I&T Matrix and forwarded to the QA Training Officer, who shall assure that the data is entered into the training database.
- a) For changes in duties, supervisor, and organization, and in the case of new training requirements, identify as a Matrix Revision.
  - b) For cases where personnel need to temporarily take over new duties (e.g., fill in for vacationing staff), identify as a Matrix Revision.
  - c) For status reporting, identify as a Quarterly Update.
- 6.5.12 The employee forwards, at the end of each quarter, a Quarterly Update of the latest status to the supervisor, who signs and forwards it to the QA Training Officer. In those cases where personnel have had no I&T activity during the quarter, supervisors may elect to forward a memo to the QA Training Officer listing those personnel and stating no new I&T has occurred since last quarter.
- 6.5.13 The QA Training Officer shall periodically issue reports for information or action, and for review of essential data for accuracy and completeness.

## 7.0 RECORDS

- 7.1 Documentation generated as a result of this procedure shall be collected and maintained in accordance with requirements specified in QAAP 17.1, *QA Records Management*. The QA Training Officer is responsible for collecting all documentation required by this procedure and entering into the QA records management system. At a minimum, completed I&T Matrices, Attendance Records, and lesson plans shall be considered QA records.
- 7.2 Individual I&T Matrices are maintained and controlled as privileged DOE System 80 records in the OCRWM records management system. Access to QA training records is limited to authorized personnel and those provided access under a routine use as described in DOE System 80.

## 8.0 ATTACHMENTS

- 8.1 Attachment I - Indoctrination and Training Matrix and Instructions
- 8.2 Attachment II - Lesson Plan and Instructions
- 8.3 Attachment III - Attendance Record
- 8.4 Attachment IV - QAAP 2.1 Flowchart





ATTACHMENT I (cont'd)  
I&T MATRIX INSTRUCTIONS

Block	Description
1.	The type of Matrix being submitted. <ul style="list-style-type: none"><li>• <b>Initial Matrix</b> - Supervisor establishes initial requirements.</li><li>• <b>Matrix Revision</b> - An employee's name, position, organization or supervisor has changed, or supervisor is adding, deleting, or changing items <u>from the initial requirements</u>. Also used to identify requirements resulting from temporary duties or expansion of duties with the same position.</li><li>• <b>Quarterly Update</b> - An I&amp;T Matrix that is submitted to provide quarterly status of completed training. This matrix is submitted at the end of each quarter regardless of other matrices submitted.</li></ul>
2.	Self-explanatory
3.	Print or type employee name. No nicknames. If name has changed, check appropriate box in block 1 and enter former name in parentheses.
4.	This block should be entered in MO/DA/YR format. Matrix revisions and quarterly status matrices should reflect the <u>same date</u> as the employee's "initial matrix."
5.	Employee's current position as it applies to OCRWM. If an employee holds two OCRWM positions, submit separate "initial matrices."
6.	Place an X beside the appropriate entry.
7.	OCRWM personnel enter branch number and name. Contractors enter company name.
8.	I&T codes to be used in block 11.
9.	Enter document number and topic title, e.g. DOE/RW-0214 <i>Quality Assurance Requirements Document</i> . Each document or topic variation must be entered separately i.e., Nuclear Waste Policy Act and Nuclear Waste Policy Act Amendments should be listed as separate items. When assigning classroom training, list the class name and the separate documents (e.g. list as "Procurement Module", followed by QAAP 7.1, <i>Control of Purchased Services</i> ).
10.	For matrix revisions, indicate whether the course or document is to be added (A) to initial requirements, deleted (D) from the requirements, or changed (C) (e.g. to change an I&T Code from C to an S).
11.	Enter codes from block 8 to indicate method required for completion.
12.	Completed by the employee as follows: <ul style="list-style-type: none"><li>A. Enter the effective date of the document read. Where no effective date is listed, enter revision number.</li><li>B. Enter the date read or the date of class attendance.</li><li>C. Employee initials to confirm completion of actions.</li></ul>
13.	Employee signs to indicate completion of self-study/classroom training.
14.	Completed for "quarterly status" matrices only. Check the block for the appropriate quarter and enter the year.
15.	Self-explanatory.
16. & 17.	Supervisor signs and dates to verify employee completion of actions indicated in block 12.



ATTACHMENT II (Example)

Page \_\_\_\_\_ of \_\_\_\_\_

LESSON PLAN

A. GENERAL:

1. LESSON PLAN TITLE \_\_\_\_\_

2. REVISION NUMBER \_\_\_\_\_

3. Author: \_\_\_\_\_ Date: \_\_\_\_\_

4. Reviewed: \_\_\_\_\_ Date: \_\_\_\_\_

5. Approved: \_\_\_\_\_ Date: \_\_\_\_\_

OCRWM QA TRAINING OFFICER

B. COURSE DETAILS

1. Course objectives:

2. Course summary:

3. Terms to be Defined:

4. Documentation to be discussed:

5. Prerequisites:

6. Instructional method:

7. Course length:

8. Course evaluation method:

9. Target audience:



**ATTACHMENT II (cont'd)**

**LESSON PLAN INSTRUCTIONS**

1. GENERAL INFORMATION

- a. State title of the lesson plan.
- b. Revision number of the lesson plan. Begin with Revision 0.
- c. Identify author of lesson plan, normally the instructor.
- d. Obtain review signature.
- e. Obtain approval of the OCRWM QA Training Officer.

2. COURSE DETAILS

- a. Describe objective in behavioral terms, e.g., "At the conclusion of the class, attendees should be able to accurately and completely fill out an XYZ sheet."
- b. Briefly summarize material to be covered in the course.
- c. Identify terms that the instructor will define.
- d. Identify documents that are appropriate to the topic.
- e. Identify other courses attendees must or should complete prior to attending this course.
- f. Identify classroom instruction methods (e.g., lectures, seminars, workshops, question and answer sessions).
- g. Identify the estimated length of the class.

3. COURSE OUTLINE

Instructor Prompt - Identify the method of presentation (viewgraph, slide, activity, etc.). As an option may also include instructional notes.

Outline - Identify material to be presented. Do not prepare a detailed text that contains every spoken word but do include enough information that another instructor could readily see the main elements and direction of the course.

- a. Identify how the effectiveness of the material transfer will be evaluated.
- b. Identify the audience or prerequisites for training. This identifies the level of presentation.





**ATTACHMENT IV**

**QAAP 2.1 FLOWCHART**

