

Subject: Establishing Qualification and Certification Requirements	Effective Date: June 20, 2003	Initiated by: Deputy Director of Human Resources
	Supersedes: Revision 0 dated September 2, 2000	Approved: Director

Applicability

This procedure amplifies the requirements of PPPL Laboratory Procedure TR-001 and applies to those departments, projects, and divisions who implement that procedure.

Introduction

This procedure has been developed to provide a uniform approach to establishing qualification and certification activities.

Reference Documents

- TR-003 Revising the PPPL Training Implementation Matrix
- TR-001 Laboratory Training Program

General

Qualification and Certification procedures are higher level documents than the training matrices, and shall take precedence over matrices. The training requirements detailed in qualification or certification procedures shall be followed in lieu of those identified on the training matrix.

Definitions

- Certification** Process by which management provides written endorsement of the satisfactory achievement of qualification of an individual for a specialized operations position based upon its criticality or safety impact, and generally in response to a DOE Order or national consensus code or standard.
- Qualification** Process by which factors, such as education, experience, and any special requirements (e.g., medical examination) are evaluated in addition to training to assure that an individual can competently perform a specialized job function to an anticipated level of proficiency.
- Training** Instruction designed to develop or improve job performance.
- Job Incumbent** An individual who performs a specific job function and, based upon characteristics (such as education, experience, and/or performance ability), may continue performing that job without needing to fulfill training and/or examination requirements that may be subsequently established.
- Training Exception** The utilization of a background characteristic to satisfy a training requirement in lieu of completing a training course.

Procedure**I. Preparation, Review and Approval of Qualifications and Certifications****A. Qualification/Certification Procedure Development****Responsibility****Action**

Department, Project, or
Division Head

1. Determines if a job function within their organizations requires either qualification or certification. Attachment 1, Training, Qualification, and Certification Decision Chart, may be used to facilitate this determination.
2. Develops qualification or certification requirements for the specified job function. If the qualification or certification is governed by a DOE Order, national consensus code or standard, or other external (to PPPL) document, the guidance of that document shall be used to develop qualification or certification requirements.
3. Develops internal qualification or certification requirements for the specified job function if the qualification or certification is not governed by a DOE Order, national consensus code or standard, or other external (to PPPL) document. These requirements may include:
 - a. Prescribed education and experience minimums
 - b. Medical examination
 - c. Training requirements
 - d. Proficiency testing (written, oral, practical, or a combination).
4. When appropriate, initiates a written qualification or certification procedure to detail requirements and administrative controls (such as independent verification of credentials, signature authority, and documentation development and processing).

Training Manager or
Designee

5. Assists the Department, Project, or Division Head in determining if qualification or certification is required for job functions within their organizations.
6. Assists the Department, Project, or Division Head in developing, and/or reviewing and approving qualification or certification procedures, as needed.

B. Independent Verification of Certifications

<u>Responsibility</u>	<u>Action</u>
Training Manager or Designee	1. Prepares the certification package in accordance with the applicable certification procedure.
	2. Reviews the certification package for completeness.
	3. Assigns the certification package to an independent reviewer who will perform an independent verification of the package.
Independent Reviewer	4. Reviews the certification package to verify that the candidate for certification meets the requirements stated in the applicable certification procedure, and that completion of these requirements are completely documented.
	5. Documents the independent verification on the independent verification form shown in the applicable certification procedure.
	6. Reports the results of the independent verification to the Training Manager or designee.
Training Manager or Designee	7. Approves the independent verification form, and processes the certification package in accordance with the applicable certification procedure.

C. Extensions to Certifications and Qualifications

<u>Responsibility</u>	<u>Action</u>
Department, Project, or Division Head	1. Identifies the need to extend certifications or qualifications in lieu of recertifying or requalifying personnel. Certification and qualification extensions are documented in writing and shall clearly identify the reason(s) which necessitated the extension. Attachment 2 is used to document the extension justification.
Training Manager or Designee	2. Reviews the justification for providing an extension in lieu of recertification or requalification to assure it is complete and accurate, and that it complies with requirements and governing PPPL documents. If acceptable, the Training Manager or designee approves the extension justification.

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| Applicable Certifying Authority | 3. Reviews the justification for providing an extension in lieu of re-certification or requalification to assure it is technically accurate, well justified, and prudent. If acceptable, certifications and qualifications may be extended for ninety (90) days beyond the effective period of certification or qualification by written approval of the certifying or signature authority. |
| | 4. Approved certification and qualification extensions are returned to the Training Manager or designee. |
| Training Manager or Designee | 5. Files the approved certification and qualification extensions in the individual's certification or qualification file, and updates the Office of Human Resources database to reflect the extended certification or qualification date. |

II. Exceptions to Training

This procedure section is used to provide the means to grant a training exception for individual training courses and to grant a baseline qualification exception (i.e., training and examination exceptions) for job incumbent personnel performing specific job functions.

Initial training programs are developed for personnel with entry-level knowledge and skills. In some cases, personnel may already possess the requisite knowledge and skills, and may be excepted from these training and/or examination requirements.

A. Granting Training Exceptions

<u>Responsibility</u>	<u>Action</u>
Department/Project/Division Manager	<ol style="list-style-type: none"> 1. Requests an exception from training for personnel assigned to their organization. 2. Provides a written request for the exception, formatted per Attachment 3, which shall include: <ol style="list-style-type: none"> a. The name of the individual. b. The specific training for which exception is requested. c. Full and detailed justification for the exception. 3. Provides documentation, as necessary, to support the basis for the justification. 4. Submits the written request to the Training Manager or designee for approval.

Training Manager or Designee

5. Reviews the exception for training using the criteria provided in Attachment 4. In no case shall exceptions be granted to a non-job incumbent for required qualification or certification examinations.
6. Approves acceptable requests for training exceptions.
7. Files approved requests in lieu of training records.

B. Other Considerations for Granting Training Exceptions

Responsibility

Action

Training Manager or Designee

1. Grants training exceptions to personnel who develop or present training programs. These personnel shall receive training credit for their activities and are excepted from completing this training as “participants.” In such cases, a request for training exception need not be submitted by the Department/Project/Division Manager. However, this type of exception shall be documented in the individual's training file.

NOTE:

As a general rule, exceptions are not granted for “hands-on” or OJT due to the unique nature of such training, except for those individuals who develop or present such training.

C. Training Exceptions for Job Incumbents

Responsibility

Action

Department/Project/Division Manager

1. Requests an exception from training and/or examination requirements for personnel assigned to their organization who are identified as Job Incumbents. This exception extends to training, qualification, and certification requirements.

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| Department/Project/Division
Manager | 2. | Provides a written request for the Job Incumbent exception which shall include a documentation package containing: <ol style="list-style-type: none">a. The name of the individual, the specific position, and qualification item (training and/or examination) for which a Job Incumbent exception is requested, formatted per Attachment 5.b. An attached resume that addresses job function competency, formatted per Attachment 6 (Resume Format).c. Verification of job function competency, formatted per Attachment 7 (Management Statement of Job Incumbent Technical Competency) |
| Training Manager or
Designee | 3. | Submits the documentation package to the Training Manager or designee for approval. |
| | 4. | Reviews the documentation package for completeness and adequacy. |
| | 5. | Approves acceptable requests for Job Incumbent exception. |
| | 6. | Files approved Job Incumbent exceptions in lieu of training or examination records. |

III. Alternatives to Education and Experience Requirements

This procedure is used to evaluate education and experience alternatives to the minimums specified for job categories for those positions that specify education and experience minimums in their respective qualification or certification procedure. This procedure provides a method for evaluating alternatives to education and experience requirements and provides recommendations for acceptable education and experience alternatives.

Education and experience for PPPL personnel who perform functions which are governed by national code standards, DOE Orders or other Federal requirements.

A. Evaluating and Accepting Alternatives

Responsibility

Action

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| Department/Project/Division
Manager | 1. | Requests an alternative to education and/or experience minimums for personnel assigned to their organization. |
| | 2. | Provides a written request for the alternative, formatted per Attachment 8, which shall include: <ul style="list-style-type: none"> a. The name of the individual. b. The specific requirement for which an alternative is requested. c. Full and detailed justification for the alternative. |
| Department/Project/Division
Manager | 3. | Provides documentation, as necessary, to support the basis for the justification. |
| | 4. | Submits the written request to the Training Manager for approval. |
| Training Manager or
Designee | 5. | Reviews the request using the criteria provided in Attachment 9. |
| | 6. | Approves acceptable requests for alternative education and/or experience. |
| | 7. | Files approved requests with the individual's training or qualification records. |

Attachments

- Attachment 1 Training, Qualification, and Certification Decision Chart
- Attachment 2 Certification or Qualification Extensions
- Attachment 3 Request for Training Exception (typical format)
- Attachment 4 Basis for Granting Training Exceptions
- Attachment 5 Request for Job Incumbent Exception (typical format)
- Attachment 6 Resume Format
- Attachment 7 Management Statement of Job Incumbent Technical Competency
- Attachment 8 Request for Education and/or Experience Alternative (typical format)
- Attachment 9 Education and/or Experience Alternatives - Guidelines

TRAINING, QUALIFICATION, AND CERTIFICATION DECISION CHART		
<p>This form is to guide the Department, Project or Division Head in making a decision on whether a position might need a certification or qualification. If the answers to all of the questions in the left column are YES, then a position certification or qualification would be appropriate.</p>		
STEP / QUESTION	IF YES, THEN ...	IF NO, THEN ...
1. Is the position one of the following? a. technician b. maintenance personnel c. manager d. technical staff e. support staff f. operator g. operator supervisor?	Continue.	Stop here. There is no need to use this chart. Only training is needed.
2. Is it necessary to require any of the following for the individual to do the job? a. minimum education and experience b. medical examination c. prerequisite or specialized training d. job-related examinations (written, oral, practical)	Qualification or certification is needed.	Stop here. There is no need to use this chart. Only training is needed.
3. Is it necessary to verify and document completion of all requirements before the individual can start to perform the job independently?	Qualification or certification is needed.	Stop here. There is no need to use this chart. Only training is needed.
4. Is it necessary to formally maintain proficiency in the job on a periodic basis?	Qualification or certification is needed.	Stop here. There is no need to use this chart. Only training is needed.
5. Is it necessary to formally reevaluate the individual's ability to perform the job on a periodic basis (e.g., biennially)?	Qualification or certification is needed.	Stop here. There is no need to use this chart. Only training is needed.
6. Can improper job performance result in radiological release, create a serious ES&H/QA problem, or result in significant programmatic impact?	Qualification or certification is needed.	Stop here. There is no need to use this chart. Only training is needed.
7. Does the position meet the national consensus code or standard, or DOE Order or other Federal requirement?	Qualification or certification is needed.	Continue.

(Continued)

**TRAINING, QUALIFICATION, AND CERTIFICATION
DECISION CHART**

STEP / QUESTION	IF YES, THEN ...	IF NO, THEN ...
8. Is management required to certify that the individual is qualified to perform the assigned job function based upon a national consensus code or standard, or DOE Order or other Federal requirement?	Certification is needed.	Qualification is needed.
9. Does this position handle or move tritium through plant systems?	Certification is needed.	Qualification is needed.

Princeton University

Princeton Plasma Physics Laboratory

To: Office of Human Resources

From: Department/Project/Division Manager

Subject: REQUEST FOR CERTIFICATION OR QUALIFICATION EXTENSION

Name of Individual	
Certification Or Qualification Held	
Applicable Procedure Number	
Expiration Date	
End Date of Extension <i>(Not to exceed 90 days)</i>	
Basis for Extension	

Requested by: _____ Date _____
 Department/Project/Division Manager

Approved by: _____ Date _____
 Training Manager or designee

Certified/Qualified by: _____ Date _____
 Certifying or Signature Authority

Princeton University

Princeton Plasma Physics Laboratory

To: Office of Human Resources

From: Department/Project/Division Manager

Subject: REQUEST FOR TRAINING EXCEPTION

Name of Individual for Exception is Requested:

Training for Which Exception is Requested:

Justification for Granting Exception:

Recommended by _____ Date _____
 Department/Project/Division Manager

Approved by _____ Date _____
 Training Manager or designee

Basis for Granting Training Exceptions

1. EDUCATION

Education may be used as a basis for exception when the information presented in the training program is basic theory or fundamental principles (e.g., personnel holding degrees in engineering or physical sciences at the baccalaureate level or higher may be excepted from basic physics or nuclear theory training).

2. PRIOR TRAINING

Prior training may be used as a basis for exception when the information presented is comparable or equivalent to training already completed (e.g., training topics previously completed under US Navy nuclear training programs or NRC reactor operator training programs).

3. EXPERIENCE

Experience may be used as a basis for exception if the individual has actual “hands-on” or directly corresponding (i.e., on a replicate facility or system) experience in PPPL system design and/or operation prior to the development of the training requirement (e.g., system engineers involved in the design or operations of tritium systems may be excepted from tritium systems training).

4. CHALLENGE TESTING

Challenge testing may be used as a basis for exception for classroom training provided the test is directly tied to the learning objectives, is sufficiently difficult to ensure the individual has sufficient knowledge of the material covered by the course, self-study/preparatory material exists, and the individual achieves a passing grade on the test.

Princeton University

Princeton Plasma Physics Laboratory

To: Office of Human Resources

From: Department/Project/Division Manager

Subject: REQUEST FOR JOB INCUMBENT EXCEPTION

Name of Individual for Which Job Incumbent Exception is Requested:

Position for Which Job Incumbent Exception is Requested:

Qualification Item(s) for Which Job Incumbent Exception is Requested:

Documented Basis for Granting Exception (Refer to Attached Documents):

- a. Resume
- b. Management Statement of Job Incumbent Technical Competency

Recommended by _____ Date _____
 Department/Project/Division Manager

Approved by _____ Date _____
 Training Manager or designee

|

Resume Format

Name of Individual
Address
City, State, Zip Code
Telephone Number

POSITION - Job Incumbent Position

EMPLOYMENT HISTORY - Starting with Current Employment and Working Backwards

Month/year to
present

POSITION, COMPANY NAME

Current job description -- about 25 words.

Month/year to
Month/year

POSITION, COMPANY NAME

Work at previous job. Describe previous positions in reverse chronological order, with the most recent first. Treat jobs more than ten years ago in very concise terms, and describe recent jobs more fully.

Month/year to
Month/year

POSITION, COMPANY NAME

Continue to describe jobs in reverse time order.

EDUCATION

Dates of
Attendance
or Year of
Degree/Diploma

School Name and Location
Degree or Diploma Earned (if applicable)
or Subjects Studied

Identify Name and Location of High School if No College Degree Earned

SPECIALIZED TRAINING (RELATED TO THE JOB INCUMBENT POSITION)

Date Completed
(Year)

Course Title, Location Presented, Course Provider

PROFESSIONAL OR TECHNICAL REGISTRATIONS OR CERTIFICATIONS

Year Attained

Professional License or Certification (Include Registration Number and Issuing Agency, as applicable)

Princeton University

Princeton Plasma Physics Laboratory

To: Office of Human Resources

From: Department/Project/Division Manager

Subject: MANAGEMENT STATEMENT OF JOB INCUMBENT TECHNICAL
COMPETENCY

Name of Individual:

Job Incumbent Position:

This is to verify that the above named individual is technically competent as a Job Incumbent for the position identified. This verification is based upon the following factors, in addition to direct observation of the individual's capabilities as the cognizant supervisor/manager:

_____ Years of PPPL-specific experience as the Job Incumbent.

_____ Years of overall experience performing the Job Incumbent function.

Verification Performed By:

Signed: _____

Date: _____

Print: _____

Title: _____

Princeton University

Princeton Plasma Physics Laboratory

To: Office of Human Resources

From: Department/Project/Division Manager

Subject: REQUEST FOR EDUCATION AND/OR EXPERIENCE ALTERNATIVE

Name of Individual for Which for Education and/or Experience Alternative is Requested:

Alternative Requested

Justification for Alternative:

Requested by _____ Date _____
Department/Project/Division ManagerApproved by _____ Date _____
Training Manager

Education and/or Experience Alternatives - Guidelines

The education and experience guidelines written below shall not to be treated as absolute. Other factors, such as job incumbency and the ability to competently perform the assigned job function, shall also be considered in lieu of the education and experience minimums specified.

1. EDUCATION ALTERNATIVES

The education requirements are a high school diploma and baccalaureate degree. Persons who do not possess the formal educational requirements specified shall not be automatically eliminated where other factors provide sufficient assurance of their abilities to fulfill the duties of a specific position. These factors shall be evaluated on a case-by-case basis, and approved and documented in accordance with this procedure. The following guidelines may be considered when making an evaluation of educational alternatives, recognizing that other factors may also be appropriate.

a. High School Alternatives:

- 1) General Educational Development (GED) diploma or completed GED test.
- 2) Certificate of Completion from a post-secondary technical institution.
- 3) Completion of technical training provided by the United States Armed Forces.

b. College Alternatives:

- 1) Professional engineer license for a baccalaureate.
- 2) Completion of technical portions of a baccalaureate program, with the overall completion of 80 semester credit hours, as determined by a written transcript.
- 3) Related experience may be substituted for education at the rate of six semester credit hours for each year of experience up to a maximum of 60 credits.

Education and/or Experience Alternatives - Guidelines (Continued)**2. EXPERIENCE ALTERNATIVES**

Persons who do not possess the experience requirements specified shall not be automatically eliminated where other factors provide sufficient assurance of their abilities to fulfill the duties of a specific position. These factors shall be evaluated on a case-by-case basis, and approved and documented in accordance with this procedure. The following guidelines may be considered when making an evaluation of experience alternatives, recognizing that other factors may also be appropriate.

a. General:

In those cases where an individual does not meet the literal experience required for a position, and no other basis for an experience alternative is available, consideration may be given to the collective experience of the operating organization in lieu of the individual meeting the required experience. Individuals may be assigned to positions providing the overall operating organization is considered balanced and strong. In such cases, DOE PAO approval of this approach (documented in a memorandum) is required.

b. Substitution of Course Work and Training:

- 1) Where course work is related to job assignments, post-secondary education may be substituted. Formal education may not be substituted for more than 50% of the experience requirements unless otherwise specified herein.
- 2) Job-related training in the position sought may qualify as equivalent to nuclear experience on a one-to-one basis for up to a maximum of two years.
- 3) Completion of technical training provided by the United States Armed Forces.