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TRAINING AND QUALIFICATION OF INSTRUCTORS



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FOREWORD

The purpose of *Training and Qualification of Instructors* is to provide contractor training organizations with information that can be used to verify the adequacy and/or modify existing instructor training programs, or to develop new training programs. DOE contractors should not feel obligated to adopt all or any parts of this document. Rather, they can use the information contained in this document to develop programs that are applicable to their facility.

This guide applies primarily to those who conduct and support technical instruction in the areas of facility operations, maintenance, and technical support. However, human resource development (HRD) instructors may also find its content useful. While this document treats an instructor's technical and instructional competence separately, it is the combination of these factors and interpersonal skills that produces a highly effective instructor.

Beneficial comments (recommendations, additions, deletions) and any pertinent data that may improve this document should be addressed in the Comments Section of this forum.

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1. SCOPE

1.1 Purpose

This guide contains good practices for the training and qualification of technical instructors and instructional technologists at DOE reactor and non-reactor nuclear facilities. It addresses the content of initial and continuing instructor training programs, evaluation of instructor training programs, and maintenance of instructor training records.

1.2 Background

The Guide to Good Practices for Training and Qualification of Instructors was developed from three principal sources:

- Commercial nuclear power industry guidelines for instructor training and qualification
- Mid-Atlantic Nuclear Training Group (MANTG) Generic Instructor Task List
- A tabletop analysis conducted to identify instructional competencies representative of those required by DOE's Training Accreditation Program (TAP) objectives and criteria.

The TAP objectives and criteria have been revised since this guide was originally developed. They are now consistent with the objectives and criteria contained in *DOE-STD-1070-94 Guidelines for Evaluation of Nuclear Facility Training Programs* which establishes the standards by which training programs should be evaluated against. The competencies in this guide are representative of those required by the revised objectives and criteria of the accreditation program and DOE-STD-1070-94.

1.3 Application

Training organizations should use this guide as a means of cross-checking to assist them in ensuring that the necessary elements are contained in their instructor training programs. This guide should also be used by facilities as they develop instructor training programs to comply with the requirements of DOE Orders and proposed rulemaking initiatives in DOE.

1.3.1 Discussion

The recommended instructor training programs are based on qualification levels. The following levels are addressed:

- On-the-Job Training (OJT) Instructor
- Classroom Instructor/Trainer
- Instructional Technologist.

Depending on the size and complexity of a facility's training organization, additional instructor qualification levels (such as Simulator or Laboratory Instructors) may be necessary. Appendix A is an example Trainer Classification Model which lists six qualification levels.

2. DEFINITIONS

Exception is the release of an individual from portions of a training program through prior education, experience, training, and/or testing.

Experience (Instructional) is assignment in a training/instructional position with responsibility for designing, developing, presenting, and/or evaluating training activities.

Instructor is an individual who presents classroom, laboratory, on-the-job, or simulator instruction, or one who develops training programs and materials, and/or evaluates trainees.

Instructor Qualification is the process of determining and verifying that individuals meet the instructional and technical competence qualification criteria for a specific instructor qualification level.

Job Analysis is a systematic method used in obtaining a detailed listing of the tasks of a specific job.

Learning Objective is a statement specifying measurable behavior that a trainee should exhibit after instruction, including the conditions and standards for performance.

Lesson Plan is an instructor's document that outlines instructor and trainee activities, learning objectives, lesson content, and resources necessary for the consistent conduct of training.

On-the-Job Training is formal training that is conducted and evaluated in the work environment.

Operational Evaluation is a documented evaluation of an individual's knowledge and skills. The operational evaluation is a facility walk-through that may include system and/or component operation, or simulation of operations, during which the candidate is observed and questioned regarding procedures, safety implications, and technical safety requirements or operational safety requirements as applicable.

Qualified is the satisfactory completion of a training program based on knowledge, skills, and abilities that are necessary for performance of assigned responsibilities.

Self-Paced Instruction (SPI) includes a number of forms of instruction in which the pace of training is controlled by the trainee and guided by the program materials. SPI does not require the full-time presence of an instructor. Students study on their own and learn at their own pace.

Subject Matter Expert (SME) is an individual qualified or previously qualified and experienced in performing a particular task. A subject matter expert may also be an individual who by education, training, and/or experience is a recognized expert on a particular subject, topic, or system.

Systematic Approach to Training is an approach to training which is based on tasks and the related knowledge and skills required for competent job performance. A systematic approach to training consists of the following phases:

- **Analysis Phase** identifies training requirements for a specific job position through the use of needs analysis, job analysis, and task analysis.
- **Design Phase** uses information collected during the analysis phase to select training settings, establish a training program development plan, and write specific learning objectives and test specifications that guide the development of all training materials and strategies.
- **Development Phase** uses the results of the design phase to select appropriate instructional methods and develop training materials.
- **Implementation Phase** consists of activities related to resource allocation, planning and scheduling, and the conducting and documenting of training.
- **Evaluation Phase** focuses on the effectiveness of each of the other phases.

Task is a well-defined unit of work having an identifiable beginning and end which is a measurable component of the duties and responsibilities of a specific job.

Task Analysis is the systematic process of examining a task to identify knowledge, skills, and abilities required for successful task performance.

Training is instruction designed to develop or improve job performance.

Training Program is a planned, organized sequence of activities designed to prepare individuals to perform their jobs, to meet a specific position or classification need, and to maintain or improve their performance on the job.

Training Setting is the environment in which training is conducted. Examples of training settings include classroom, laboratory/workshop, on-the-job, simulator, and self-paced instruction.

Training Supervisor is the individual responsible for day-to-day training activities, including scheduling, assigning, and evaluating instructors.

3. INSTRUCTOR QUALIFICATION REQUIREMENTS

Qualification requirements should be established and documented for all facility and subcontract personnel, including "occasional/casual" instructors who perform training activities. (An occasional or casual trainer is an individual who only instructs several times a year; training is not a part of his/her job description.) These requirements should be based on instructor qualification levels, and should address instructional competence, technical competence, and applicable interpersonal skills. All subcontract instructors, both short-term and long-term, should meet the qualification requirements for the subjects they teach and/or develop.

Instructor trainees who are not fully qualified, as well as occasional instructors, should have limited participation in instructional activities. These individuals should perform assignments under the direct supervision of a qualified instructor or a training supervisor. All instructor trainees who are assigned instructional activities should be formally evaluated by a qualified instructor or a training supervisor.

On a case-by-case basis, determined by testing or experience, an instructor trainee may be granted an exception to specific training program requirements. If an instructor trainee can demonstrate mastery of some/all of the course learning objectives prior to the training, an exception is warranted. Administrative procedures should be developed that allow training management the option of releasing such an individual from portions of a qualification program's requirements. All exceptions granted should include a written justification.

Records formally documenting exceptions, the training provided, and the qualification(s) achieved for each member of the training staff should be maintained in accordance with Section 8 of this guide.

3.1 Instructional Competencies

A job analysis for a DOE facility's instructors and instructional technologists is not required. However, it is recommended that each facility analyze its work activities to ensure that training-related tasks and their associated knowledge and skills are identified and documented for each instructor qualification level. Appendix B contains a generic instructor job analysis survey form that may be used or modified for this analysis. Analysis results should be compared to the facility's instructor training programs to verify that required knowledge (at the proper cognitive level) and skills are provided in the content of each program. Further, these analyses should be used to establish entry-level requirements (education, training, and work experience) for each instructional qualification level.

The knowledge and skills developed by the facility's instructor training programs should also be compared with the representative instructional competencies identified in Appendices C, D, E, and F of this guide. This comparison should help to verify the adequacy, or identify deficiencies in the facility's analyses and should also identify generic competencies which may not be needed in facility-specific training programs.

The competencies listed in Appendices C, D, E, and F were identified by tabletop analysis of TAP objectives and criteria, the DOE Instructor Training Course, and a generic instructor task list from the commercial nuclear power industry. As a result of this analysis, some competencies were written at the task level and some at the task element level. By providing competencies written at the task element's knowledge and/or skill level, the need to perform additional analysis is minimized. Competencies that are identified as applicable to a specific instructor training program should be rewritten in the form of terminal and enabling learning objectives.

In all cases, programs should be in place to develop the specific knowledge and skills required for each instructor's qualification level. It is recommended that if a facility does not conduct its own analysis of training-related activities, the content of its instructor training programs should be initially based on this guide and subsequently refined using a systematic evaluation process.

3.2 Technical Competencies

Training staff who perform as instructors in the development, presentation, or evaluation of technical topics should possess technical qualifications consistent with their assignments. Technical qualifications should include theoretical and practical knowledge as well as practical work experience at or above the level that is required of the trainee population. Instructors who initially lack practical work experience should complete portions of operator/technician/craft training programs related to the topics taught. These instructors should thoroughly understand the subject matter and its relationship to overall facility operation.

Each facility should establish written procedures that stipulate what these technical qualifications will be, to whom they apply, and how they may be attained for each instructor qualification level. For example, instructors at DOE Category A reactor facilities who teach subjects such as technical safety requirements, operating practice, and control manipulations to certified reactor operators and senior reactor operators should have received senior reactor operator (or equivalent) training. Instructors who teach integrated facility response at DOE non-reactor nuclear facilities may also need facility operator (or equivalent) training.

Table 1 presents specific trainee groups and lists fundamental and facility-specific knowledge, experience, and qualifications appropriate for instructors of each group. The

table suggests qualification requirements for instructor technical competency. Facilities should use the information provided in Table 1 and their facility-specific instructor analysis data to determine the technical qualification requirements for instructional positions.

TABLE 1

Suggested Instructor Technical Qualifications

Trainees	Subjects Taught	Instructor Qualifications
Operator/ Technician (O/T) Reactor Non- reactor or Shift Supervisor/ Shift Manager (SS/SM) or Technical Staff (TS)	Academic/fundamental subjects	Successful completion of training/education in subjects being taught at or above the level to be achieved by the trainees, OR Training or experience that provides the instructor with knowledge of the duties and responsibilities of the trainees.
	Generic nuclear processes	OJT qualification for the facility, OR Successful completion of OJT training (including simulator, if applicable) for a facility of the same type
	Facility-specific technical information and applied fundamentals	OJT training or qualification for the facility technical information (including simulator, if applicable) for the trainee's facility, OR For instructors without facility-specific experience, formal training should be completed that emphasizes operations and watch standing practices, shift turnover procedures, use of normal and emergency facility procedures, and normal facility evolutions.
RO & SRO	Facility-specific technical and integrated plant information such as technical safety requirements, control manipulations, and operating practice	SRO qualification or equivalent training

Trainees	Subjects Taught	Instructor Qualifications
Mechanical, Electrical, I&C; Chemistry, and Radiological Controls Technicians	Fundamentals and facility technology	Demonstrated knowledge and skills in the subjects being taught at or above the level to be achieved by trainees, as evidenced by previous training/education and through job performance, AND Training or experience that provides the instructor with knowledge of the duties and responsibilities of the trainees.
	Facility-specific	Demonstrated knowledge and skills in the subjects being taught at or above the level to be achieved by the trainees, as evidenced by previous training/education and through job performance, AND Completion of all qualification requirements for the senior-level position or duty area of instructional responsibility at the trainee's facility or a similar facility, AND Training or experience that provides the instructor with knowledge of the duties and responsibilities of the trainees.
Instructors	Fundamental or advanced instructional skills training	Demonstrated knowledge and skills in the subjects being taught at or above the level to be achieved by the trainees, as evidenced by previous training/education and through job performance.

3.3 Interpersonal Skills

The ability to provide effective training is significantly influenced by the interpersonal skills of the instructor. Interpersonal skills (sometimes referred to as "soft skills") needed by instructors may be identified through observations or interviews with skilled instructors. Trainee feedback on instructor style and delivery (usually highly subjective), may also provide insight to desirable interpersonal skills. Many of these skills are contained in managerial training courses. It is important that these skills are identified and included in the instructor training programs.

The instructor has the pivotal role in the quality of training. The instructor's communication skills can significantly impact instructional effectiveness. Instructors should possess strong listening and speaking skills. Other skills include the ability to listen to questions, to phrase questions that stimulate thought, and to deal effectively with conflict.

The ability to influence trainee behavior is closely related to the instructor's motivational skills and personal example. The demeanor of the instructor is as important to the quality of the instruction as the lesson content and materials. Since trainees tend to model their actions after instructors, it is essential that instructors demonstrate leadership qualities, convey a positive attitude toward training, and promote professionalism in the work environment. Use of these interpersonal skills is the mark of an effective instructor.

4. INITIAL INSTRUCTOR TRAINING

Programs for initial instructor training should prepare individuals to carry out all duties associated with their respective instructor qualification level. The content of courses designed for each instructor qualification level should be based on a comparison of existing programs to either a job analysis (preferred method) or the applicable contents of this guide.

The initial instructor training described in this section is divided into three subsections - Instructional Basics, Instructor Qualification Levels, and Technical Skills Training.

4.1 Instructional Basics

All facility personnel responsible for technical training should complete an instructional basics training course. Training in instructional basics provides a common background for all facility instructors regardless of their instructor qualification level.

Content for an instructional basics training course may be determined by grouping the knowledge and skills identified during the analysis of the various instructional activities that are necessary to support facility training programs. See Appendix C for suggested representative competencies.

4.2 Instructor Qualification Levels

For the purpose of discussing different competencies, this guide divides initial instructor training into the following three qualification levels:

- On-the-Job Training (OJT) Instructor
- Classroom Instructor/Trainer
- Instructional Technologist.

Initial instructor training should develop the necessary instructional competencies to deliver training, or in the case of the instructional technologist, to design/develop effective training efficiently. To accomplish this objective, it is essential that training which is based on the instructor's qualification level and at the appropriate degree of comprehension or learning be provided to all personnel who perform training tasks regardless of their job title.

As you review Appendices C, D, E, and F, certain competencies may appear to be repeated. These competencies are required at different levels of comprehension based on the instructor's qualification level. For instance, the concept of learning objectives should be introduced in instructional basics training. An OJT instructor should know that

learning objectives must be clear, concise, and correctly sequenced to provide effective training. The classroom instructor should know what was required of the OJT instructor and should be able to describe the factors that affect the proper sequencing of objectives. The instructional technologist should possess the competencies of the other two instructors (on this specific topic) and be able to develop learning objectives, group them by training setting, and effectively sequence them.

4.2.1 OJT Instructor Training

The OJT instructor is typically a senior craftsman/operator/technician, subject matter expert (SME), or a foreman/supervisor who conducts formal one-on-one training and performance testing. A training course for the OJT instructor should emphasize the "how to" rather than the "why"; however, some "why" should also be included. The OJT instructor is not normally expected to develop training materials, but as an SME he/she should be directly involved in assisting the instructional technologists as they develop and modify these materials. OJT instructors should have a basic working knowledge of the concepts of a systematic approach to training. See Appendix D for suggested competencies which are representative of those needed by an OJT instructor. Additional information regarding OJT is contained in the *On-the-Job Training* (available in the SAT forum of this site).

4.2.2 Classroom Instructor/Trainer Training

The classroom instructor/trainer is typically an individual who works part-time to full-time as an instructor. This title covers a broad range of instructors varying from a line organization SME -working part-time as a classroom instructor using instructional materials and strategies developed by others-- to an individual who performs most of the duties of an instructional technologist. The classroom instructor should have a working knowledge of the concepts of a systematic approach to training. A training course for the classroom instructor should emphasize the "how to" and the "why." It is not necessary to have completed OJT instructor training to qualify as a classroom instructor. See Appendix E for suggested competencies which are representative of those needed by a classroom instructor.

4.2.3 Instructional Technologist Training

The instructional technologist typically designs, develops, and evaluates training courses and instructional materials based on a systematic approach to training. They may also provide formal classroom instruction if qualified. The training program for instructional technologists should be designed to build on the competencies developed by instructional basics training, OJT instructor training, and classroom instructor training. See Appendix F for suggested competencies which are representative of those needed by an instructional technologist.

4.3 Technical Skills Training

Technical qualification should be based on pre-established written standards that describe the appropriate level of technical expertise and proficiency required in specific subject areas (see Table 1). Personnel who are assigned instructional duties in technical training programs may need additional job-related knowledge and skills to complete their technical qualifications. Successful completion of all or selected portions of the initial operator/technician/craft training programs may be required to provide the necessary knowledge and skills. Methods for verifying technical competence may include the review of documentation that supports prior education and experience, operational evaluations, and oral/written examinations. Changes or upgrades to technical qualifications that enable personnel to perform training activities in additional areas should be verified in a similar manner and approved by the responsible manager.

5. INSTRUCTOR QUALIFICATION

Qualification for all levels of instructors should be documented by the responsible manager's written endorsement of the satisfactory completion of initial instructor training and qualification requirements. Guidance (administrative procedures) should be developed to establish the criteria for technical and instructional qualification for all instructional personnel, including subcontractors. Guidance that describes the process for progressing to higher instructor qualification levels, frequency and renewal of qualification, and personnel record keeping should also be established.

6. CONTINUING INSTRUCTOR TRAINING

Continuing training that maintains and improves instructional and technical skills should be provided following initial instructor qualification. All instructors should be evaluated at least annually by training management or a training supervisor. These evaluations and any necessary corrective measures should be documented as identified in Section 8. Continuing training in instructional skills should focus on correcting weaknesses identified by instructor evaluations and the development of desired competencies. Continuing training in technical skills should maintain and improve those skills necessary to provide effective instruction.

6.1 Instructional Skills Continuing Training

Activities that maintain and improve instructional skills may be conducted in group settings (lecture/discussion, role-playing methods, etc.), or may be accomplished through self-paced instruction and one-on-one sessions with peer instructors. Continuing instructional skills training should be provided to all personnel with training assignments. Continuing training requirements may be satisfied by attending or instructing the sessions. Continuing training requirements may also be met by completing applicable seminars or courses offered by outside consultants or academic institutions. Continuing training should be formally tracked and evaluated for its contribution to staff instructional effectiveness. Results should be documented as identified in Section 8.

Subjects appropriate for instructional skills continuing training may include the following:

- Refresher topics from initial instructional skills training
- New and advanced instructional techniques and methods
- Changes in regulations, standards, and procedures
- Organizational changes that may affect job responsibilities and interrelationships
- Performance deficiencies identified during instructor evaluations
- Industry trends and generic problems identified by assist and review visits.

6.2 Technical Skills Continuing Training

Training that will maintain and develop technical skills and ensure knowledge of job responsibilities should be provided to all personnel who act as technical instructors. This training should include attending or instructing applicable portions of the operator/technician/craft continuing training and structured in-facility time observing

and/or participating in appropriate activities. In-facility activities should be planned in advance using established objectives and should consider current facility opportunities.

Instructors who provide facility-specific training should be kept current on facility and industry events and changes. Generic knowledge deficiencies and performance weaknesses should be included as continuing training topics. Any instructor with specific technical skill deficiencies should receive training to correct the problem(s).

Instructors at DOE Category A reactors who teach subjects such as technical safety requirements, operating practice, and control manipulations to certified reactor operators and senior reactor operators should receive the continuing training necessary to maintain their technical skills at, or equivalent to, the senior reactor operator level. This training should include portions of the senior reactor operator continuing training, completing specific in-facility activities, and spending appropriate time (acting as a member of an operating crew) on the simulator. Structured in-facility time should maintain the instructor's familiarity with facility configuration, watchstation requirements and practices, and procedural and administrative guidance.

Instructors who teach integrated facility response at DOE non-reactor nuclear facilities should receive the continuing training necessary to maintain their technical skills at, or equivalent to, the senior operator level.

Instructors of certified reactor operators and senior reactor operators who instruct topics other than those listed above, and instructors of other facility operators (both reactor and non-reactor), should maintain and develop the technical skills necessary to perform their job. These instructors should keep abreast of facility administrative practices and be familiar with the education and experience level of their trainee population. They may accomplish this by attending operations meetings and observing incumbent work activities.

Maintenance, chemistry, and radiological protection instructors should attend technical continuing training. They should also maintain familiarity with facility configuration, technician or craft practices, procedural and administrative guidance, and analytical or maintenance equipment through meeting attendance, and appropriate formal and informal communication. Additionally, instructors may improve their technical skills through attending industry training/professional workshops and seminars.

6.3 Professional Development

Each facility should establish activities that promote the professional growth of the training staff. These activities should provide a means of career development to ensure that personnel remain motivated in their current assignments. They should also provide the staff the opportunity to increase their contribution to the facility.

Industry good practices that can enhance professional growth include management by objectives and individual development plans. These approaches link individual performance to training department and facility goals, and can provide benefits to both the organization and the individual staff member. Professional growth opportunities may be identified from sources such as facility human resource groups or surveys of the training staff. Professional development activities may include the following:

- Cross-assignments between training and technical areas
- Expanded lead instructor activities such as providing guidance to work groups and subcontractors
- Authoring training procedures and other training documentation
- Assignments to training department problem-solving and decision-making task forces
- Participation in operations committees (training review committees, design review groups, procedural review groups, etc.)
- Participation in training associations and training-related workshops
- Company-funded enrollment in college vocational/educational programs
- Active participation in professional organizations related to technical areas
- Membership in professional training organizations (American Society of Training and Development [ASTD], National Society for Performance and Instruction [NSPI], etc.).

7. EVALUATION OF INSTRUCTOR TRAINING PROGRAMS

In order to establish and maintain effective instructor training programs, a periodic or continuing evaluation of each program is necessary. The frequency of these course evaluations should change over time. Following initial training program development, evaluation on a three to six month period may be required. After this initial period of evaluation and course modification, evaluations should be conducted on a one to two year frequency.

Evaluation relies on effective two-way communication between the instructional technologists, the course instructors, the training supervisors, and the instructor trainees. Evaluations should encourage program updating and guide program improvements. Program evaluations should include the following items:

- Trainee examination (evaluation) results from the instructional basics and qualification level-specific instructor training
- Task-based feedback from former trainees to assess program effectiveness
- Post-training surveys of training supervisors to assess adequacy of program content
- Instructor performance evaluations by trainees, training supervisors, and appropriate line management
- Deficiencies noted in other evaluations and the resulting corrective actions
- Review of DOE and industry "guideline/good practices documents"
- Review of competency lists versus content of current instructor training programs.

Changes in program content, instructional materials, training methods, examination techniques, training facilities, or instructional staff should be identified and assigned to training management representatives for action. Responsibility for tracking corrective actions should also be assigned.

8. PROGRAM RECORDS

Auditable records of each individual's participation and performance in or exception(s) granted from the training program(s) (instructional and technical as appropriate) should be maintained. Individual training records should include the following (as appropriate):

- Verified education, experience, employment history, and most recent health evaluation summary
- Training programs completed and qualification(s) achieved
- Latest completed checklists, graded written examinations (with answers corrected as necessary or examination keys) and operational evaluations used for qualification (this requires controlled access to training records to maintain examination security)
- Lists of questions asked and the examiner's overall evaluation of responses on oral examinations
- Correspondence relating to exceptions granted to training requirements (including justification and approval)
- Records of qualification for one-time-only special tests or operations
- Attendance records for required training courses or sessions.

A historical record that documents initial qualification on each position qualified should be maintained as part of individual training records. For example, if an instructor is initially qualified in 1986, the record should contain the date and name of the qualification. If more than one qualification is achieved and maintained, the individual training record should contain documentation to that effect.

Completed examinations, checklists, operational evaluations, etc., for presently held technical qualification(s) should be maintained in the record. (Some facilities may prefer to maintain a separate file of completed examinations with answer keys for each individual.) When an individual holds qualification in multiple positions, records that support current qualifications for each position should be maintained. Duty area or task qualification should be documented using a similar method (for facilities that use duty area or task qualification instead of position qualification). Functional supervisors should have access to qualification records, as necessary, to support the assignment of work to qualified personnel.

Upon requalification, records that support the previous technical qualification may be removed from the record and replaced with the information documenting present qualification. Superseded information should be handled in accordance with procedures contained in DOE-O-243.1B AC-1, *Records Management Program*.

In addition, records of the training programs (including an audit trail documenting the development and modifications to each program) and evaluations of the effectiveness of those programs should also be maintained.