

DOE Training Institute (DTI)

DTI-SOP-002, Rev. 4

Training Reciprocity

Effective Date: June 23, 2016

APPROVALS

DTI/HAMMER Project Lead


A. Mings

6/23/2016
Date

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6/23/2016
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Revision/Change Record

Note: Major Revisions will be in the first position (**Rev. 1**, Chg. 0). Minor revisions (changes) will be in the second position (Rev. 1, **Chg. 1**).

Rev., Chg.	Description and Purpose of Revision/Change	Point of Contact Print/Sign	Date
Rev.0, Chg.0	New document derived from NTC/HAMMER SOP-002.	K.M. McCleary	4/6/2016
Rev.1, Chg.0	Introduce Revision Change Log into the SOP.	K.M. McCleary	5/2/2016
Rev.2, Chg.0	Added Union Data collection to the process and generated Form 002-8 to document.	K.M. McCleary	5/23/2016
Rev.3, Chg.0	Added Reciprocity Checklist Revision Process, added new checklist (Form DTI-002-1 to document revisions.	K.M. McCleary	6/1/2016
Rev. 4, Chg. 0	Incorporate steps to manage Reciprocity Checklist revisions.	A. Mings	

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1.0 PURPOSE

The purpose of DTI-SOP-002, as created by the Department of Energy Training Institute (DTI) and administered by HAMMER in accordance with the DTI Statement of Work, is to proceduralize DTI/HAMMER Training Reciprocity.

2.0 SCOPE

This procedure applies to health, safety, and security training programs and courses submitted to DTI from any company, contractor, union affiliate, or DOE sponsored Requesting Organization doing work for the DOE.

3.0 DEFINITIONS

Consensus Group: In the event that DTI does not have a Subject Matter Expert (SME) to evaluate a particular course, a consensus group, such as Energy Facility Contractors Group (EFCOG), will be formed to function in the SME's place.

Drivers: An approved government regulation, DOE order, or approved set of requirements.

Department of Energy Training Institute (DTI): "...the [Department of Energy Training Institute] DTI represents a partnership between the NTC [National Training Center], located in Albuquerque, New Mexico, and HAMMER [Volpentest HAMMER Federal Training Center], located in Richland, Washington. The NTC, an element of the Office of Enterprise Assessment, maintains its core training competencies in protective force, security, nuclear safety, oversight, and instructional training disciplines. HAMMER, an element of the Office of Environmental Management, maintains its core training competencies in occupational safety and emergency response training" (DOE, Strategic Plan, 2016). Formalization of the NTC and HAMMER partnership was authorized by Monica Regalbuto, Assistant Secretary for Environmental Management, Office of Environmental Management and Glenn S. Podonsky, Director, Office of Enterprise Assessments, and is captured in the *DTI Strategic Plan 2016-2018*.

EFCOG: Energy Facility Contractors Group

Reciprocity: A DOE Policy (DOE P 364.1) and process certifying the fundamental content of health, safety and security training courses as meeting requirements established by Federal regulations, national consensus standards, and DOE directives allowing for portability of training courses across the DOE enterprise.

Training Reciprocity SharePoint: A website collaboration tool dedicated to the administration of Reciprocity. The SharePoint provides participating Requesting Organization access to contacts, approved providers, and supporting documentation.

4.0 REQUIREMENTS

- 4.1 Training for Reciprocity is certified in accordance with DOE P 364.1, *DOE Health and Safety Reciprocity Policy*.
- 4.2 The SME is designated in accordance with SOP-007, *DTI Subject Matter Experts*, or an assigned Consensus Group.

5.0 RESPONSIBILITIES

5.1 DTI/HAMMER Manager/Designee

- 5.1.1 Approves initiating the development and revision of *Reciprocity Checklists* (Form 002-4) by an approved SME or consensus group.
- 5.1.2 Assigns SMEs to complete the Requesting Organization's Training Program Evaluation.

5.2 DTI/HAMMER Project Lead

- 5.2.1 Serves as a primary customer service resource for Requesting Organizations.
- 5.2.2 Aids in the successful completion of reciprocity certification.
- 5.2.3 Ensures that DTI has an approved reciprocity checklist for the requested course(s).
- 5.2.4 Ensures the Requesting Organization's training program has been evaluated and deemed eligible for reciprocity.
- 5.2.5 Prepares the *Proprietary Protection Letter* (Appendix B) when needed.

5.3 DTI Subject Matter Experts

- 5.3.1 Assists in the development of reciprocity checklists and major revisions to existing reciprocity checklists.
- 5.3.2 Evaluates the Requesting Organization's training program in accordance with DOE requirements.
- 5.3.3 Provides evaluation support.

5.3.4 Aids in the successful completion or corrective actions leading to the certification of Requesting Organization's program.

5.4 Designated Records Administrator

5.4.1 Maintains the reciprocity checklists and their associated revisions.

5.4.2 Documents the creation and revision of each Reciprocity Checklist on the Reciprocity Checklist Revision Log Index.

6.0 FORMS

6.1 Form DTI-002-1, *Reciprocity Checklist Revision Log*

6.2 Form DTI-002-2, *Training Program Evaluation*

6.3 Form DTI-002-3, *DTI Program Evaluation Summary*

6.4 Form DTI-002-4, *Reciprocity Checklist*

6.5 Form DTI-002-5, *Training Reciprocity Recertification Review*

6.6 Form DTI-002-6, *DTI Course Evaluation Summary*

6.7 Form DTI-002-7, *DTI Contractor Data Sheet*

6.8 Form DTI-002-8, *DTI Union Data Sheet*

7.0 PROCEDURE

7.1 Overview

7.1.1 Training Reciprocity is a dual evaluation process: Program Evaluation and Course Evaluation. The Program Evaluation assesses the training program's adherence to the SAT/ADDIE process and DOE requirements, and is documented on *DTI Training Program Evaluation Checklist* (Form DTI-002-6). Course Evaluation looks at individual courses for compliance with DOE Orders, Federal requirements, and national standards, and is documented on the *Reciprocity Checklist* (Form DTI-002-4).

7.1.2 Most of the training courses used in the DOE enterprise are developed, maintained, and owned by the government. However, companies may submit proprietary information to DTI for reciprocity evaluation. A *Proprietary Protection Letter* (Appendix

B) will be provided by the DTI/HAMMER Project Lead when requested.

7.2 Program Evaluation

7.2.1 The Requesting Organization, via an email to Hammer@ri.gov, may request an evaluation and certification of their training program.

7.2.2 The DTI/HAMMER Project Lead performs the following tasks:

- a. Assist the requester in securing an e-Access account.
- b. Assist the requester in navigating the Helpful Information & Getting Started Library on the Training Reciprocity SharePoint.
- c. Ensure the requester provides a complete *DTI Contractor Data Sheet* (Form DTI-002-7).
- d. When applicable, ensure the requester provides a complete *DTI Union Data Sheet* (Form DTI-002-8).
- e. Ensure the requester completes and returns the *Training Program Evaluation* (Form DTI-002-2).
- f. Work with DTI/HAMMER Manager to schedule an onsite evaluation.

7.2.3 The Requesting Organization completes the *Training Program Evaluation* (Form DTI-002-2) as a self-evaluation, and will perform the following:

- a. Determine if the training program satisfies the evaluation criteria. This decision is annotated by marking Yes or No in the second column of the checklist.
- b. Complete the third column of the checklist with the applicable documentation and comments supporting this decision.

7.2.4 The training program evaluation includes the following six compliance objectives:

- a. Objective One: Training Program Management and Administration

- b. Objective Two: Training Staff Qualification and Development
- c. Objective Three: Training Program Design and Development
- d. Objective Four: Conduct of Training
- e. Objective Five: Trainee Examinations and Evaluations
- f. Objective Six: Training Program Evaluation

NOTE: This does not mean that all aspects of the Requesting Organization's training program must be implemented in the same manner as DTI, but that each item evaluated is being satisfied. The evaluation does not evaluate modality, and provides only a SAT/UNSAT determination.

NOTE: The Program Evaluation and first Technical Course Evaluation may be conducted separately or simultaneously as desired by the training provider (Section 7.2 and 7.3).

- 7.2.5 The assigned SME assists in completing the Requesting Organization's training program evaluation as follows:
 - a. Assist in the completion of the *Training Program Evaluation* (Form DTI-002-2) if not previously completed.
 - b. Validate the information provided on the *Training Program Evaluation* by comparing the requirements against the supporting documentation.
 - c. Resolve any questions regarding the training program evaluation.
 - d. Deliver the completed *Training Program Evaluation* (Form DTI-002-2) and supporting documentation in electronic or printed form to the DTI/HAMMER Project Lead.
- 7.2.6 The SME conducts an onsite evaluation performing the following:
 - a. Complete the Validation column of the *Training Program Evaluation*.
 - b. Observe (spot checks) course instruction at the facility to ensure consistency between what is documented and what is delivered; evaluate the adequacy of the training environment.

- 7.2.7 The SME performs the program evaluation tasks including the following:
- a. Brief the DTI/HAMMER Project Lead on the site visit.
 - b. Work to resolve deficiencies with the Requesting Organization. Evaluation will be moved to inactive after 90 days of inactivity.
 - c. Complete the *DTI Program Evaluation Summary* (Form DTI-002-3).
 - d. Review the results of the completed evaluation with the Requesting Organization.
 - e. Upon resolving open evaluation items, the SME shall complete the evaluation package and forward it to the DTI/HAMMER Project Lead
- 7.2.8 The DTI/HAMMER Project Lead performs the following:
- a. Review the submitted documentation and ensure unresolved issues are addressed with the SME(s).
 - b. Update Reciprocity SharePoint Approved Reciprocity Training Table and Supporting Documentation Library to reflect the addition of a new Requesting Organization and approved program evaluation.

NOTE: Program Certification is valid for five (5) years from the date of the DTI Program Evaluation Summary, or until revoked by DTI.

7.3 Course Reciprocity Evaluation

- 7.3.1 Upon receipt of a request for course reciprocity evaluation, the DTI/HAMMER Project Lead performs the following:
- a. Determine if the Requesting Organization has current training program approval per section 7.2. Training program approval will be documented on the Requesting Organization's *Training Program Evaluation* (Form DTI-002-2) and the *DTI Program Evaluation Summary* (Form DTI-002-3) retained on the Supporting Documentation Reciprocity SharePoint Library.
 - b. If program approval has not been previously granted to the Requesting Organization, complete at this time. (See section 7.2 for Program Evaluation).

- 7.3.2 The DTI/HAMMER Project Lead confirms the Requesting Organization has obtained the desired *Reciprocity Checklist(s)* from the TRAC Reciprocity SharePoint site.
- a. If the specific topical area Reciprocity Checklist has not been created, the DTI/HAMMER Project Lead notifies the DTI/HAMMER Manager.
 - b. A DTI Instructional Designer develops the reciprocity checklist (Appendix A) when directed by DTI-SOP-004, *DTI Common Core Courses*, or the DTI/HAMMER Manager/Designee.
- 7.3.3 The Requesting Organization, or designee, completes the *Reciprocity Checklist(s)* as follows:
- a. Complete the self-evaluation portion (column 2) of the *Reciprocity Checklist(s)*.
 - b. Annotate the evaluation results by marking Yes or No. Include applicable comments.
 - c. Identify the specific location within the course material where the requirement is covered, and record the location on the *Reciprocity Checklist* (column 3).

NOTE: Discrepancies shall be noted in the comments section. Requesting Organization, or designee, shall forward the completed *Reciprocity Checklist(s)* and supporting materials, in electronic or printed form, to the DTI/HAMMER Project Lead.

- 7.3.4 The DTI/HAMMER Project Lead works with the DTI/HAMMER Manager to assign DTI personnel to validate the checklists and course(s) submitted by the Requesting Organization.
- 7.3.5 The SME/Designee performs the following tasks:
- a. Verify that the information provided on the *Reciprocity Checklist(s)* is correct, and document results in the Validation column.
 - b. Review the results of the evaluation with the Requesting Organization, if desired.
 - c. Update the *Reciprocity Checklist* to reflect resolution of any comments/issues.
 - d. Complete a *Course Evaluation Summary* (Form DTI-002-6), capturing the results of the evaluation. Include the evaluation completion date.

- e. Submit the completed evaluation package including submitted course material, completed *Reciprocity Checklist*, and *Course Evaluation Summary* to the DTI/HAMMER Project Lead.

NOTE: If issues are identified during the evaluation, the SME should discuss with the Requesting Organization representative. Requesting Organizations are encouraged to resolve issues identified during the evaluation, and provide evidence of action taken prior to approval.

NOTE: All issues shall be addressed within 90-days of notification, or the file shall be moved to inactive status.

- 7.3.6 Upon receipt of the completed evaluation package the DTI/HAMMER Project Lead performs the following:
 - a. Draft the Course Certification Letter for the NTC Director signature.
 - b. Upon receipt of a copy of the course certification letter the DTI/HAMMER Project Lead performs the following:
 - 1. Assemble an NTC Closeout Package including reciprocity documentation.
 - 2. Update the Reciprocity SharePoint Approved Reciprocity Training Table and Supporting Documentation Library to reflect the addition of a Requesting Organization's approved course evaluation.

7.4 Course Retirement

- 7.4.1 Courses may be retired from the DTI Reciprocity program by sending an email or letter to the DTI/HAMMER Project Lead.
- 7.4.2 Training is valid until the retraining due date.
- 7.4.3 The DTI/HAMMER Project Lead updates the Reciprocity SharePoint Approved Reciprocity Training Table, Reciprocity Training Database, and Supporting Documentation Library to reflect the retirement of a Requesting Organization's course.

7.5 Periodic Review Process

- 7.5.1 Each course certified for reciprocity by DTI will be reviewed based on the anniversary date of the NTC Director's certification letter. The reciprocity certification is maintained until a periodic review is completed, or until revoked by DTI.

- 7.5.2 A graded approach is used for reviews based on the following:
- a. The frequency of the SAT/ADDIE program periodic review is five years, consistent with other DOE training programs.
 - b. The frequency of reviews adheres to requirements, regulations, or DOE orders to ensure the stability and integrity of reciprocity. Generally, all course content is reviewed every three (3) years.
 - c. RadWorker I, RadWorker II, and General Employee Radiological Training (GERT) are reviewed every two (2) years.
- 7.5.3 DTI contacts the Requesting Organization at least 90-days prior to expiration.
- 7.5.4 The DTI review consists of completion of the *Training Reciprocity Recertification Review* (Form DTI-002-5).
- 7.5.5 The Requesting Organization completes the *Training Reciprocity Recertification Review* and submits it to the DTI/HAMMER Project Lead. The DTI certification validates that the certified training is operated under a program that ensures the continued quality and effectiveness of the training provided. Therefore, a condition of the certification is that the Requesting Organization is maintaining the training in a manner that warrants continued certification.
- 7.5.6 Upon receipt of completed *Training Reciprocity Recertification Review*, the DTI/HAMMER Project Lead performs the following:
- a. Draft a new course certification letter for the NTC Director's signature.
 - b. Upon receipt of a copy of the signed course certification letter, the DTI/HAMMER Project Lead performs the following:
 1. Assemble an NTC closeout package including the *Training Reciprocity Recertification Review* and signed certification letter.
 2. Update Reciprocity SharePoint Approved Reciprocity Training Table and Supporting Documentation Library to reflect the Reciprocity Recertification.

- 7.5.7 The DTI/HAMMER Project Lead updates the Reciprocity SharePoint Approved Reciprocity Training Table, Reciprocity Training Database, and Supporting Documentation Library to reflect the addition of a Requesting Organization's approved course evaluation.

NOTE: If significant changes call this condition into question, the DTI/HAMMER Manager will work with the Requesting Organization to determine whether a re-evaluation is necessary. The Requesting Organization may opt out of the program without affecting the status of training conducted while the program was certified.

7.6 Changes to Standards

- 7.6.1 A change to a standard initiates a revision to the associated Reciprocity checklist (Appendix A), and is documented on form DTI-002-1, *Reciprocity Checklist Revision Log (RCRL)*.
- 7.6.2 The revised record is maintained by the designated DTI Record Administrator, and documented on the Reciprocity Checklist Revision Log Index.

8.0 VERIFICATION

8.1 Training Provider

- 8.1.1 A training provider's reciprocity status is posted on the Approved Reciprocity Training Table located on the Reciprocity SharePoint.
- 8.1.2 For additional information, contact the DTI/HAMMER Project Lead.

8.2 Personnel

- 8.2.1 Training Managers or other DOE personnel may verify personnel reciprocity training by contacting the following:
- a. The appropriate training provider's records department.
 - b. A training provider's verification contact listed within the Approved Reciprocity Training Table.
- 8.2.2 For further information, contact the DTI/HAMMER Project Lead.

9.0 REFERENCES

1. ANSI/ASSE Z490.1-2009, *Criteria for Accepted Practices in Safety, Health, and Environmental Training*, Grange Park, IL: American Nuclear Society, 2009.
2. Department of Energy, *Alternative Systematic Approaches to Training* (DOE-HDBK-1074-95). Washington, DC: Office of Scientific and Technical Information, 1995.
3. Department of Energy, *Health and Safety Training Reciprocity* (DOE P 364.1). Washington, DC: Office of Health Safety and Security, 2014.
4. Department of Energy, *Personnel Selection, Training, Qualification, and Certification Requirements for DOE Nuclear Facilities* (DOE O 426.2). Washington, DC: Office of Health Safety and Security, 2013.
5. Department of Energy, *Training Program Handbook: A Systematic Approach to Training* (DOE-HDBK-1078-94). Washington, DC: Office of Scientific and Technical Information, 1995.

10.0 APPENDIXES

Appendix A - Reciprocity Checklist Development

Appendix B - Proprietary Protection Letter

Appendix A - Reciprocity Checklist Development

1.0 RECIPROCITY CHECKLIST CREATION AND REVISION

- 1.1 **The *Reciprocity Checklist* is prepared by a knowledgeable person or Consensus Group member.**
 - 1.1.1 Evaluation criteria are based on approved requirements, regulatory drivers, or DOE Orders. Ensure that all requirement references and revisions used are identified in the summary section to assist with future revisions as the references are updated.
 - 1.1.2 The completed *Reciprocity Checklist(s)* is verified by an SME or a different Consensus Group member.
- 1.2 **The DTI/HAMMER Project Lead places the approved checklist on the TRAC Reciprocity SharePoint.**
- 1.3 **Major revisions to the Reciprocity Checklist are prepared by the same or equivalent person or Consensus Group Member that prepared the initial checklist.**

NOTE: *Reciprocity Checklists* created and/or revised by Consensus Groups must include the organization providing the requirement set (e.g. Laser Safety EFCOG Working Group).

2.0 BUILDING THE REQUIREMENTS/OBJECTIVE COLUMN

- 2.1 **The Preparer (Knowledgeable Person/Subject Matter Expert/Consensus Group Member) performs the following:**
 - 2.1.1 Research Federal requirements, national standards, policy orders, and DOE universal requirements for training drivers.
 - 2.1.2 List all references to training from the requirements documents in the Requirements/Objective column.
 - 2.1.3 Ensure the accuracy of the checklist by enlisting a Subject Matter Expert (SME) or another Consensus Group Member for a verification review.
- 2.2 **The Verifier (Subject Matter Expert (SME)/Consensus Group Member) performs the following:**
 - 2.2.1 Examine those items in the Requirements/Objective column for accuracy and applicability.

2.2.2 Delete those items not pertinent to the subject matter.

2.2.3 Add any requirements or objectives not already on the list.

2.3 Signatures

2.3.1 The Preparer and the Verifier sign the bottom of the checklist.

2.3.2 The signed checklist is scanned, and saved as a .pdf file.

2.3.3 The signed .pdf file and the original MS Word file is forwarded to the DTI/HAMMER Project Lead.

2.4 DTI/HAMMER Project Lead

2.4.1 The signed .pdf file and the original MS Word file is stored in IDMS.

2.4.2 The signature lines on the MS Word file are changed from Preparer/Verifier to Evaluator/Validator.

2.4.3 The MS Word file is placed in the Training Reciprocity SharePoint site for customer use (<https://sites.ntc.doe.gov/partners/trac/trainingreciprocity/SitePages/Home.aspx>).

Appendix B - Proprietary Protection Letter



Date

Recipient, Title
Address
Zip Code

Dear Mr. or Ms.

PROTECTION OF PROPRIETARY INFORMATION FOR DOE TRAINING INSTITUTE
(DTI)

Reference(s) 1. Acknowledgement of initiating correspondence

It is recognized that the training materials developed and presented by (Company) will remain the intellectual property of (Company), and as such DTI/HAMMER acknowledges the request for protection of those materials. Any and all materials received will not be released, loaned, used, reproduced, or disclosed to any other parties for any purpose without the expressed written permission of (Company). Training materials provided will be destroyed or returned upon completion of the reciprocity review process.

Please contact me for any questions 509-373-2134.

Sincerely,

DTI/HAMMER Manager

(xxx)