



**Operator Competency Assurance Audit
Checklist for Training Support Systems and Processes
TCS ISOM**

GREEN - System and process defined, in place and working effectively. All supervisors aware and using the process on all units. 90-100% Compliant
YELLOW - System and process defined, but not being used on all units. 26-90% Compliant
RED - No evidence of effective system/process. 0 - 25% Compliant

Section	2003 STATUS	2004 STATUS	2004 DTR	COMMENT
I	PROCESS & SYSTEM STANDARDS			
	Operator Hiring Strategy/Planning	80	40.0	Units aware of staffing and using internship program to fill needs
II	New Operator Selection		0.0	Coordinated by HR and L&D
III	Developing Training Plans	80	0.0	Initial job and refresher training only. No upskilling and no budget for year
	Is the final plan reviewed and approved by operations management?	1	0.0	Not reviewed, leaves up to trainer
IV	Managing Training Materials and Information Resources	68	0.0	Manuals 50%-100%, procedures 50%-100%, TO's etc 10%-100%
	Are all updates to this information made through Management of Change (MOC)?	75	15.0	Yes and in process of rewriting/updating, operating envelop and Title V
V	Testing and Qualification	75	15.0	No but is aware of L&D design document. Nothing presented to show compliance. Uses VTA for cutoff scores
	Does the Unit have a documented testing and qualification process including cut-off scores, retests allowed, consequences of failure, etc?		0.0	Written policy but is standard practice. Trainer is aware of L&D design document
	Is testing a combination of written and performance demonstration?	75	15.0	
	Is there a policy of "No operator will be allowed to work a job alone without qualifying via testing/qualification process"?	75	0.0	
	Are operators assessed once every three years (minimum) to ensure their skills are still current for each position they qualified for previously?		0.0	
	Is there evidence that the test results are being analyzed and proper remediation steps put into place, i.e. review of missed material for minor knowledge gaps and comprehensive remediation for significant knowledge gaps?	85	0.0	Test being remediated by VTA but not analyzed, PE's analyzed in field
	Do all performance demonstration tests have a checklist of criteria that need to be correctly answered by the operator?	50	0.0	Checked six with none having an answer key
VI	Unit Specific Training		0.0	SOI on operator duties
	Are operators trained on all routine job tasks?		0.0	
	Is there a job specific training curriculum developed and does it include the following: Operating procedures, safe off (gun drill) reviews, MOC changes, Safe work procedures		0.0	No formal gun drill review, doing everything else
	Does the unit/area have a gun drill program and is it being utilized?		0.0	No formal gun drill review, discussing restoring GD program
VII	Training Development and Administration-Training Program Development			
	Does unit/area management demonstrate strong support of the L&D efforts by setting performance expectations, holding operators accountable to new competencies learned, and providing necessary resources?		0.0	Yes in most cases
VIII	Training Development and Administration-Administrative System			
	Are individual trainers assessed on their trainer competencies and are their development plans in place?		65.0	Trainer has completed competency matrix and will attend classes as they are offered
IX	Performance Appraisal		75.0	Not aware of what S/S are doing on IDP's
	Is a performance appraisal made with every Unit operator annually?		0.0	IDP's are not being developed
X	New Equipment and Technology			
	Is adequate training given before new equipment and/or new technology is commissioned?		0.0	Yes in most cases
	Overall Score	63.5	3.2	Date of Audit 10/11/04, Audit Team - Woody Anderson

Operator Competency Assurance Audit
Checklist for Training Support Systems and Processes

TCS AU2

GREEN - System and process defined in place and working effectively. All supervisors aware and using the process on all units. 50-100% Compliant
YELLOW - System and process defined, but not being used on all units. 26-90% Compliant
- No evidence of effective system/process. 0 - 25% Compliant

Section	PROCESS & SYSTEM STANDARDS	No	ELEMENT	2003		2004		COMMENTS
				STATUS	DETA	STATUS	DETA	
I	Operator Hiring Strategy/Planning	1	Is there evidence that the Unit is assessing its future operator hiring needs by reviewing demographic data, staffing strategies, and capital work plans?	50		40.0		Units aware of staffing and using internship program to fill needs
		2	Does the site have a validated screening/selection process that includes cognitive testing, behavioral dimension assessment, and motivational fit assessment?			0.0		Coordinated by HR and L&D
III	Developing Training Plans	3	Is the Unit training plan developed for the coming year, resources identified, and the cost included in the budget cycle for each location?	50		0.0		Initial job and refresher training only. No upskilling and no budget for year
		4	Is the final plan reviewed and approved by operations management?	1		0.0		Not reviewed, leaves up to trainer
IV	Managing Training Materials and Information Resources	5	Is all unit/area documentation (manuals, procedures, and training materials) current and accurate?	65		58		Manuals 50%-100%, procedures 50%-100%, TO's etc 10%-100%
		6	Are all updates to this information made through Management of Change (MOC)?	75		15.0		Yes and in process of rewriting/updating, operating envelop and Title V
V	Testing and Qualification	7	Are Process Safety/Environmental limits documented, consequences of deviation and methods to resolve identified?			6.6		No but is aware of L&D design document. Nothing presented to show compliance. Uses VTA for cutoff scores
		8	Does the Unit have a documented testing and qualification process including cut-off scores, retests allowed, consequences of failure, etc?	75		13.0		Uses VTA for cutoff scores
		9	Is testing a combination of written and performance demonstration?			0.0		Written policy but is standard practice. Trainer is aware of L&D design document
		10	Is there a policy of "No operator will be allowed to work a job alone without qualifying via testing/qualification process"?	75		15.0		
		11	Are operators assessed once every three years (minimum) to ensure their skills are still current for each position they qualified for previously?			0.0		
		12	Is there evidence that the test results are being analyzed and proper remediation steps put into place, ie review of missed material for minor knowledge gaps and comprehensive remediation for significant knowledge gaps?	65		65		Test being remediated by VTA but not analyzed. PE's analyzed in field
		13	Do all performance demonstration tests have a checklist of criteria that need to be correctly answered by the operator?	50		50		Checked six with none having an answer key
		14	Does each operating position have a documented, up to date task list?			0.0		SOI on operator duties
VI	Unit Specific Training	15	Are operators trained on all routine job tasks?			0.0		
		16	Is there a job specific training curriculum developed and does it include the following: Operating procedures, safe off (gun drill) reviews, MOC changes, Safe work procedures.			0.0		No formal gun drill review, doing everything else
		17	Does the unit/area have a gun drill program and is it being utilized?			0.0		No formal gun drill review, discussing remaining GD program
		18	Does unit/area management demonstrate strong support of the L&D efforts by setting performance expectations, holding operators accountable to new competencies learned, and providing necessary resources?			0.0		Yes in most cases
VII	Training Development and Administration-Training Program Development	19	Are individual trainers assessed on their trainer competencies and are their development plans in place?			65.0		Trainer has completed competency matrix and will attend classes as they are offered
		20	Is a performance appraisal made with every Unit operator annually?			175.8		Not aware of what S/S are doing on IDP's
VIII	Training Development and Administration-Administrative System	21	Are individual operator development plans developed and executed to close identified gaps?			0.0		IDP's are not being developed
		22	Is adequate training given before new equipment and/or new technology is commissioned?			0.0		Yes in most cases
IX	Performance Appraisal							
X	New Equipment and Technology							
			Overall Score	63.5		66.7		Date of Audit 10/11/04, Audit Team - Woody Anderson



**Operator Competency Assurance Audit
Checklist for Training Support Systems and Processes**
TCS NDU

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NO EVIDENCE - No evidence of effective system/process. 0 - 25% Compliant

Section	PROCESS & SYSTEM STANDARDS	No	ELEMENT	2003 STATUS	2004 STATUS	Drills	COMMENTS
I	Operator Hiring Strategy/Planning	1	Is there evidence that the Unit is assessing its future operator hiring needs by reviewing demographic data, staffing strategies, and capital work plans?	50	48.0		Units aware of staffing and using internship program to fill needs
II	New Operator Selection	2	Does the site have a validated screening/selection process that includes cognitive testing, behavioral dimension assessment, and individual fit assessment?		0.0		Coordinated by HR and L&D
III	Developing Training Plans	3	Is the Unit training plan developed for the coming year, resources identified, and the cost included in the budget cycle for each location?	50	0.0		Initial job and refresher training only. No updating and no budget for year
		4	Is the final plan reviewed and approved by operations management?		0.0		Not reviewed, leaves up to trainer
IV	Managing Training Materials and Information Resources	5	Is all unit/area documentation (manuals, procedures, and training materials) current and accurate?		0.0		Manuals 100% procedures 100%, TG's etc 100%
		6	Are all updates to this information made through Management of Change (MOC)?	75	15.0		
		7	Are Process Safety/Environmental limits documented, consequences of deviation and methods to resolve identified?		0.0		Yes and in process of rewriting/updating, operating envelop and Tale V
V	Testing and Qualification	8	Does the Unit have a documented testing and qualification process including cut-off scores, retests allowed, consequences of failure, etc?	75	15.0		No but is aware of L&D design document. Nothing presented to show compliance. Uses VTA for cutoff scores.
		9	Is testing a combination of written and performance demonstration?		0.0		Written policy but is standard practice. Trainer is aware of L&D design document.
		10	Is there a policy of "no operator will be allowed to work a job alone without qualifying via testing/qualification process"?	75	15.0		
		11	Are operators assessed once every three years (minimum) to ensure their skills are still current for each position they qualified for previously?		0.0		
		12	Is there evidence that the test results are being analyzed and proper remediation steps put into place, i.e. review of missed material for minor knowledge gaps and comprehensive remediation for significant knowledge gaps?	65	0.0		Test being remediated by VTA but not analyzed. PE's analyzed in field
		13	Do all performance demonstration tests have a checklist of criteria that need to be correctly answered by the operator?	50	0.0		Checked sat with none having an answer key
VI	Unit Specific Training	14	Does each operating position have a documented, up to date task list?		0.0		SOI on operator duties
		15	Are operators trained on all routine job tasks?		0.0		
		16	Is there a job specific training curriculum developed and does it include the following: Operating procedures, safe off (gun drill) reviews, MOC changes, Safety work procedures?		0.0		No formal gun drill review, doing everything else
		17	Does the unit/area have a gun drill program and is it being utilized?		0.0		No formal gun drill review, discussing restarting GD program
VII	Training Development and Administration-Training Program Development	18	Does unit/area management demonstrate strong support of the LAD efforts by setting performance expectations, holding operators accountable to new competencies learned, and providing necessary resources?		0.0		Yes in most cases
VIII	Training Development and Administration-Administrative System	19	Are individual trainers assessed on their trainer competencies and are their development plans in place?		65.0		Trainer has completed competency matrix and will attend classes as they are offered
IX	Performance Appraisal	20	Is a performance appraisal made with every Unit operator annually?		75.0		Not aware of what S.S are doing on IDP's
		21	Are individual operator development plans developed and executed to close identified gaps?		0.0		IDP's are not being developed
X	New Equipment and Technology	22	Is adequate training given before new equipment and/or new technology is commissioned?		0.0		Yes in most cases
Overall Score				65.0	3.2		Date of Audit 10/11/04, Audit Team - Woody Anderson



**Operator Competency Assurance Audit
Checklist for Training Support Systems and Processes
TCS ARU**

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RED - No evidence of effective system/process. 0 - 25% Compliant

Section	PROCESS & SYSTEM STANDARDS	No	ELEMENT	2003 STATUS	2004 STATUS	Points	COMMENTS
I	Operator Hiring Strategy/Planning	1	Is there evidence that the Unit is assessing its future operator hiring needs by reviewing demographic data, staffing strategies, and capital work plans?	50		40.0	Units aware of testing and using internship program to fill needs
II	New Operator Selection	2	Does the site have a validated screening/selection process that includes cognitive testing, behavioral dimension assessment, and motivational fit assessment?			0.0	Coordinated by HR and L&D
III	Developing Training Plans	3	Is the Unit training plan developed for the coming year, resources identified, and the cost included in the budget cycle for each location?	50	50	0.0	Initial job and refresher training only. No upskilling and no budget for year
		4	Is the final plan reviewed and approved by operations management?	1	1	0.0	Not reviewed, less-see up to trainer
IV	Managing Training Materials and Information Resources	5	Is all unit area documentation (manuals, procedures, and training materials) current and accurate?	50	75	25.0	Operators feel training material is only about 75% complete
		6	Are all updates to this information made through Management of Change (MOC)?	75	0	15.0	
		7	Are Process Safety/Environmental limits documented, consequences of deviation and methods to resolve identified?	50		65.0	Yes and in process of rewriting/updating, operating envelope and Title V
V	Testing and Qualification	8	Does the Unit have a documented testing and qualification process including cut-off scores, retests allowed, consequences of failure, etc?	75		15.0	No but is aware of L&D design document. Nothing presented to show compliance. Uses VTA for cutoff scores
		9	Is testing a combination of written and performance demonstration?			0.0	
		10	Is there a policy of "No operator will be allowed to work a job alone without qualifying via testing/qualification process"?	75		15.0	Written policy but is standard practice. Trainer is aware of L&D design document
		11	Are operators assessed once every three years (minimum) to ensure their skills are still current for each position they qualified for previously?			0.0	
		12	Is there evidence that the test results are being analyzed and proper remediation steps put into place, i.e. review of missed material for minor knowledge gaps and comprehensive remediation for significant knowledge gaps?	65	85	0.0	Test being remediated by VTA but not analyzed, PE's analyzed in field
		13	Do all performance demonstration tests have a checklist of criteria that need to be correctly answered by the operator?	50	50	0.0	Checked six with none having an answer key
VI	Unit Specific Training	14	Does each operating position have a documented, up to date task list?			0.0	SCI on operator duties
		15	Are operators trained on all routine job tasks?			0.0	
		16	Is there a job specific training curriculum developed and does it include the following: Operating procedures, safe off (gun drill) reviews, MOC changes, Safe work procedures			0.0	No formal gun drill review, doing everything else
		17	Does the unit area have a gun drill program and is it being utilized?			0.0	No formal gun drill review, discussing restarting GD program
VII	Training Development and Administration-Training Program Development	18	Does unit area management demonstrate strong support of the L&D efforts by setting performance expectations, holding operators accountable to new competencies learned, and providing necessary resources?			0.0	Yes in most cases
VIII	Training Development and Administration-Administrative System	19	Are individual trainers assessed on their trainer competencies and are their development plans in place?			65.0	Trainer has completed competency matrix and will attend classes as they are offered
IX	Performance Appraisal	20	Is a performance appraisal made with every Unit operator annually?			0.0	Not aware of what S/S are doing on IDP's
		21	Are individual operator development plans developed and executed to close identified gaps?			0.0	IDP's are not being developed
X	New Equipment and Technology	22	Is adequate training given before new equipment and/or new technology is commissioned?			0.0	Yes in most cases
			Overall Score	56.5	87.0	7.5	Date of Audit 10/11/04, Audit Team - Woody Anderson