



## “Attachment A”

# Operator Qualification & Safety Group: *Easing the Burden of OQ Compliance*



Evaluator Procedures  
August 21, 2006



## Introduction

This document outlines the procedures that should be implemented while evaluating personnel taking OQSG skill evaluations. Some procedures will vary based upon the situation and environment in which the evaluations are performed. The evaluator should use his/her best judgment when procedures conflict with or do not apply to the current environment.

## Evaluator Responsibilities

The main responsibilities of the evaluator are as follows:

1. Verify the identity of individuals performing assessments.
2. Verify that Attachment "B" (Employee Acknowledgment and Release) is on file for each individual being qualified.
3. Ensure that personnel performing evaluations receive no outside assistance of any kind that would jeopardize the validity of the evaluation.
4. Provide appropriate administrative assistance and support to personnel during the evaluation process.
5. Ensure evaluation results are properly transmitted to OQSG and other appropriate parties.

## Evaluator Recommendations

The following are recommendations that are strongly encouraged by OQSG.

- A. Establish Evaluation Schedule** – In order to minimize the flow of personnel into and out of the evaluation location during the evaluation process, you should establish an evaluation schedule that allows enough time to: 1) verify the identity of each individual, 2) instruct personnel, 3) allow for the evaluation and 4) perform post-evaluation verification and records management procedures.
- B. Ensure that a safe work environment is present** - This will allow the evaluator to ensure that the evaluations are performed in an environment that does not jeopardize the safety of personnel and the integrity of the pipeline system.
- C. Provide Background Information** – Individuals taking these performance evaluations ("Candidates") need to know why they are required to take them and the ramifications of a passing and a failing grade. Please review the Evaluator Introduction sheet and make it available to individuals prior to the evaluation period.



## Evaluator Procedures

The following procedures must be used while evaluating for the Operator Qualification Solutions Group unless marked as "Optional".

- 1. Obtain Authorization for Facility Access.** (The Evaluator must obtain authorization from the proper authorities prior to scheduling a performance evaluation. This authorization also includes obtaining the proper permits and reassuring the safety of the candidate.)
- 2. Read PEF Instructions and Criteria Prior to Each Evaluation.** (The evaluator shall be familiar with the instructions provided at the top of each Performance Evaluation Form. The Criteria must be reviewed to determine if any other references are needed to complete the process of evaluation. All references used during the evaluation shall be attached to the original Performance Evaluation Form and forwarded to OQSG as support documents.)
- 3. Have each individual sign Employee Acknowledgment and Release form.** (Each qualification candidate must have a signed copy of Attachment "B" to the Proctoring and/or Evaluator Agreement on file prior to taking any evaluations. This copy should be kept at your location and be accessible in the event of an OQSG audit.)
- 4. Introduction.** (The OQSG evaluator should give a brief introduction to personnel performing evaluations that includes the purpose for the evaluation and how the new regulation will affect the industry and each individual. A sample introduction is included with this document.)
- 5. Complete Candidate Information.** (The Performance Evaluation Form provides a text box that identifies the candidate of evaluation. All fields shall be completed prior to performing the performance evaluation.)
- 6. Complete Evaluator Information.** (The Performance Evaluation Form provides a text box that identifies the evaluator of the performance evaluation. All fields shall be completed prior to performing the performance evaluation.)
- 7. Select Method of Evaluation.** – The process in which the candidate is evaluated must be clearly identified by marking the box Job Performance and/or Simulation and Oral. When practical, all performance evaluation should be completed using Job Performance in accordance with the appropriate procedures. All Simulation and Oral evaluations must be at minimum a walk through and the process explained according to the appropriate procedures.
- 8. Perform Evaluation in Accordance with the OQSG Performance Evaluation Form.** (Individuals shall perform evaluations on a one on one performance beginning and ending at a set time. If multiple evaluations are necessary, allow enough time for an average individual to comfortably take the entire group of performance evaluations. If breaks are given during the evaluation process, limit the time so that the evaluations can be completed within the time frame established. Each page shall be initialed to identify the evaluator who processed the Performance Evaluation Form. All Evaluation Criteria must be evaluated in order for OQSG to validate the Performance Record. Prior to performing the Evaluation, any deviations from the Performance Evaluation Form must be approved by OQSG and the Operator.)



## Evaluator Procedures (Continued)

The following procedures must be used while evaluating for the Operator Qualification Solutions Group unless marked as "Optional".

**9. Complete Evaluation Documentation in Comment Section.** (Upon completion of each Evaluation Criteria indicate date, start time, and end time. Comments should describe the evaluation event / do not use single word modifiers such as good, poor, fair, ok. Be specific about what the candidate did and how the candidate performed.)

**10. Following the Evaluation, Identify if Candidate is Qualified or Non-Qualified.** (Upon completion of the evaluation, clearly mark the Qualification Status text box as the candidate being Qualified or Not Qualified.)

**11. Sign all Acknowledgement Statements and Date Upon Completion of Evaluation.** (Both Candidate and Evaluator text boxes shall be signed and dated on the date the evaluation was performed. Failing to do so will invalidate the record and OQSG shall not process the data.)

**12. Transmit Performance Evaluation Forms.** (Upon completing the PEF, the evaluator shall fax the evaluation to OQSG for record validation. The original document shall be mailed to OQSG for filing.)

**13. Complete the Excel Record for Data Transfer.** (Every performance evaluation shall be entered into an excel format provided to the evaluator from OQSG. Upon completing the excel worksheet the evaluator shall e-mail the data to OQSG for processing.)

**14. Ensure appropriate transmission of records.** (The evaluator should enter the appropriate database to ensure that all evaluations have been recorded and transmitted correctly by OQSG and that no additional information is necessary.)



## Validation of Record

Upon completing the Performance Evaluation Form, the document must be faxed to OQSG for validation and the appropriate Excel sheet shall be completed and e-mailed to records@oqsg.com, so that the record can be transferred to the appropriate database.

1. **Validation of the Record.** (The Performance Evaluation Form will be reviewed by an OQSG employee for the following items. Omission of any one element will result in the in-validation of the Qualification Record)

- a. Examine the complexity of the task, and time allowed to complete the task.
- b. All acknowledgement statements signed.
- c. Evaluator and candidate dates match.
- d. Mark subtask - Acceptable/Unacceptable.
- e. Qualification status - Qualified/Not Qualified.
- f. All pages initialed by evaluator.
- g. Evaluation method – Job Performance/Simulation and oral.
- h. Evaluator currently in good standing with OQSG.
- i. Evaluator references on file and verified by OQSG.
- ii. Evaluator ID number has been issued by OQSG administrator.
- iii. Certification is current.
- iv. There is no remediation in currently effect with Evaluator.

2. **Non-validated records.** (If any records are found to have deficiencies the evaluator will be notified by OQSG by means of a Performance Evaluation Feedback Form. This will explain the reason for the invalidation of the record. A copy of the Performance Evaluation Feedback Form shall be placed in the evaluator's records for future reference.)

3. **Evaluator Auditing.** (OQSG will randomly audit 10% to 20% of its customer base, annually. In the event an audit reveals a breach in the obligations listed in the Customer Service Agreement, sections 3.1 through 3.9, OQSG retains the right to revoke Customer qualifications, certifications or warranties written or implied by OQSG.)



## EVALUATOR INTRODUCTION

Hello, my name is [Name] with [Company Name]. You are here to perform a skill evaluation developed by the Operator Qualification Solutions Group (OQSG). These evaluations have been developed in response to a Department of Transportation Rule that was enacted in 1999. This rule states that personnel who perform covered tasks on DOT pipelines must be evaluated in order to determine if they are able to:

1. Safely and properly perform covered tasks
2. Identify and respond to abnormal operating conditions

This evaluation is administered at this site to determine your ability to perform the specific task. The passing score for each evaluation is 100%. Not everyone will pass the performance evaluation on the first attempt and failure to achieve a passing score does not necessarily mean that your ability to perform your job is in jeopardy. Individuals who do not achieve the passing score will be trained and reevaluated at a later date according to your company policy.

My job is to evaluate you during the performance process and to make sure that the evaluations are administered in a valid manner. I am not allowed to assist or direct you during the evaluation.

While taking these performance evaluations you must follow certain rules that the OQSG has prescribed for the evaluation process. If any of these rules are violated, I am authorized to end your evaluation and invalidate your qualification record for the task in which you were being evaluated.

Now, let's begin.