

U.S. Department of Energy

Oak Ridge Office

ORO O 360 Chapter I Change 5

DATE: 12/10/2007

SUBJECT: FEDERAL EMPLOYEE TRAINING

1. PURPOSE. This Chapter correlates to DOE O 360.1B, FEDERAL EMPLOYEE TRAINING, and DOE M 360.1-1B, FEDERAL EMPLOYEE TRAINING MANUAL, both dated October 11, 2001, by assigning responsibility and accountability and providing administrative guidance to the Oak Ridge Office (ORO) and the Office of Scientific and Technical Information (OSTI). Nothing in this issuance changes any requirements contained in any DOE Directive.
2. CANCELLATION. This Chapter cancels and replaces ORO O 360, Chapter I, Change 4, FEDERAL EMPLOYEE TRAINING, dated May 22, 2006.
3. APPLICABILITY. The provisions of this Chapter apply to all ORO and OSTI employees.
4. RESPONSIBILITIES.
 - a. Principal Staff.
 - (1) Perform those managerial or supervisory tasks identified in DOE O 360.1B and DOE M 360.1-1B.
 - (2) Designate the positions and/or individuals in their respective organizations required to participate in the Technical Qualification Program (TQP) and the applicable functional areas.
 - (3) Approve employee requests for training.
 - (4) Ensure that all training by employees is authorized in advance by the Human Capital Assessment Group (HCAG) for ORO employees and the Office of Assistant Director for Administration and Information Services (ADAIS) for OSTI employees.
 - b. Team Leader, Human Capital Assessment Group, ORO; and Assistant Director for Administration and Information Services, OSTI.
 - (1) Perform those tasks designated for Training Officer identified in DOE O 360.1B and DOE M 360.1-1B.
 - (2) Implement and administer the overall ORO or OSTI Training and Development Program.

- (3) Coordinate and report on self-assessments of the effectiveness of training programs.
 - (4) Coordinate with the ORO Human Resources Division and other ORO and OSTI organizations in implementing the major elements of employee training to include orientation, general training, performance development, and career development.
 - (5) Maintain training and qualification records for Federal employees.
 - (6) Authorize training in accordance with the procedures prescribed in Paragraph 5 of this Chapter.
 - (7) Ensure that employees assigned training responsibilities have the necessary competencies to assess training needs, estimate training resource needs, and plan, design, deliver, assess, administer, and/or manage approved training, as required.
 - (8) Issue all purchase orders for training courses and materials in a timely manner to ensure that employees are registered promptly and/or that advance payment is made to the vendor when necessary.
 - (9) Review and approve for payment OR F 3410.5, "*Reimbursement Voucher for Training Expenses,*" (see Attachment 1).
- c. ORO Federal Technical Capability Program (FTCP) Panel oversees all related Federal technical training and education activities at ORO. This is consistent with those responsibilities of the DOE FTCP Panel listed in DOE O 360.1B and DOE M 360.1-1B. Some of these activities are described in DOE P 426.1, FEDERAL TECHNICAL CAPABILITY POLICY FOR DEFENSE NUCLEAR FACILITIES and DOE M 426.1-1A, FEDERAL TECHNICAL CAPABILITY MANUAL. The ORO FTCP Panel consists of a core group of Senior Technical Safety Managers (STSMs), and its purpose is to guide the implementation of ORO's FTCP to successfully accomplish the overall ORO mission. The HCAG is represented ex officio on the panel and provides technical assistance to the panel, as needed.
- d. Director, Human Resources Division, ORO, and Assistant Director for Administration and Information Services, OSTI, perform those tasks identified in DOE O 360.1B and DOE M 360.1-1B.
- e. Director, Oak Ridge Financial Service Center.
- (1) Processes ORO F 3410.5, (see Attachment 1), for direct costs to employees who undertake training on a reimbursable basis.
 - (2) Coordinates with the ORO HCAG and the OSTI Assistant Director for Administration and Information Services (ADAIS) any cost deviations from initial obligations.
- f. Employees.
- (1) If selected to participate in the TQP, complete the requirements as described in the "*Office of Science Integrated Support Center Technical Qualification Program Manual - A Desktop Reference for Supervisors and Participants.*"

- (2) Submit training and qualification documentation to the HCAG or the OSTI Training Officer.
- (3) Complete the electronic Training Request Form to request training, at least two weeks prior to the start date.
- (4) Submit OR F 3410.5 (see Attachment 1) to the Oak Ridge Financial Service Center (ORFSC) or the OSTI Training Officer, along with copies of receipts, bills, and course grades, if appropriate, within 90 calendar days after completion of reimbursable training.
- (5) Disclose payments expected from all other governmental and private sources when submitting a training request (e.g., scholarships, VA benefits).
- (6) Must successfully complete all components of approved training assignments (that is, as a minimum, attend 80 percent of the assignment and pass the examination).

5. REQUIREMENTS AND PROCEDURES.

- a. Integrated Safety Management (ISM). As described in DOE P 450.4, SAFETY MANAGEMENT SYSTEM POLICY, the ISM principles must be incorporated into all work activities. To this end, ISM needs to be woven into all training and development activities, as practicable and applicable. For instance, all live instruction must be preceded with a notification to the students of actions to be taken in an emergency response event or drill.

Further, the ISM principle, COMPETENCE COMMENSURATE WITH RESPONSIBILITIES, refers in part to the specific competencies that individuals need to develop and maintain in order to “discharge their responsibilities.” The goal, then, for all Federal and contractor qualification and continuing training programs is to ensure that individuals acquire those specific skills and knowledge that are necessary to perform their job.

- b. Federal Technical Capability Program (FTCP). The DOE is committed to developing and maintaining a technically competent workforce to accomplish its missions in a safe and efficient manner. The FTCP provides for the recruitment, deployment, development, and retention of Federal personnel with the demonstrated technical capability to safely accomplish the Department’s mission and responsibilities.

The principles of the FTCP are the following:

- As stated in the Department’s Integrated Safety Management Guiding Principles: Federal personnel possess the experience, knowledge, skills, and abilities that are necessary to discharge their safety responsibilities.
- Line managers are accountable and have the responsibility, authority, and flexibility to achieve and maintain technical excellence.
- Supporting organizations (personnel, training, contracts, finance, etc.) recognize line managers as customers and effectively support them in achieving and maintaining technical capabilities.

- An integrated corporate approach is required to assure that necessary technical capabilities and resources are available to meet the overall needs of the Department's defense nuclear facility missions.
- c. Individual Development Plans (IDPs). DOE M 360.1-1B prescribes the preparation of IDPs. IDPs are required within 60 calendar days of an employee joining the Department or transferring to a new position, and are reviewed and updated annually. Employees initiate and supervisors and managers approve IDPs through discussions with individual employees regarding job requirements and the competencies required to successfully meet these requirements.

The IDP will provide a mechanism to establish the employee's training, development, and qualification needs based on the:

- Department and organization goals, objectives, and mission;
- Technical qualification standards for the position (if applicable);
- Continuing training; and
- Employee's personal and professional development goals.

IDPs are a planning tool for identifying developmental activities that support the organization's mission. These plans should be mutually developed with input from both the employee and the supervisor in order to first determine job specific needs and subsequently future demands or skill gaps. Employees must not misconstrue supervisory approval of an IDP to mean they will automatically receive every training course requested in the plan. The following guidelines apply:

- Funding is available to support the training and development activities;
- Work assignments and job responsibilities are not adversely affected;
- Priority is given to mandatory learning activities such as regulatory, certification, and site access requirements; and
- Scheduling of training and development activities should first start with a discussion between the employee and supervisor in order to plan for any workload coverage issues that may occur.

The HCAG web page (<http://www.ornl.gov/tdd/IndividualDev/development.htm>) contains guidance and information on preparing IDPs, and includes a link to the Employee Self Service (ESS) web page. ESS is an automated web-based system that enables DOE Federal employees to use the Internet to view payroll, benefits, personal and training information and to update personal and payroll information, including preparation of IDPs. Federal employees must complete their IDPs using ESS.

- d. Technical Qualification Program (TQP). This ORO Directive authorizes the use of the "*Office of Science Technical Qualification Program Manual - A Desktop Reference for Supervisors and Participant*," as the primary TQP implementation document for all ORO employees, regardless of Program Sponsor. The Manual, which includes the TQP Plan, describes the implementation of the TQP at ORO. DOE M 426.1-1B, Chapter III, "*Technical Qualification Program*," and DOE M 360.1-1B, Chapter V, "*Technical Qualification Program*," provide additional general guidance for TQP implementation. Additional specific TQP implementation requirements include:

- (1) The Human Capital Assessment Group (HCAG) administers the TQP at ORO.
 - (2) TQP at ORO applies to federal technical employees (GS Grade 11 and above) whose positions require them to provide management direction and oversight that could impact the safe operations of a nuclear or high-, medium-, or low-hazard facility. This includes those persons who perform such activities as review of authorization basis documents; participation in operational readiness reviews and readiness assessments; implementation of regulatory agreements; environment, safety, and health oversight; security oversight, quality assurance; appraisals; or facility walkthroughs; or any other activity that could impact safe operation of a nuclear or high-, medium-, or low- hazard facility.
 - (3) Participants will complete the General Technical Base Qualification Standard using the DOE On-Line Learning Center web-based course.
 - (4) Participants maintain their qualifications through performance of assigned duties, developmental activities, and continuing training.
 - (5) Exemptions from the competencies in the General Technical Base Qualification standard or the assigned primary functional area qualification standard are not permitted.
 - (6) Participants will use Employee Self Service to document, review, and update their TQP qualification records.
 - (7) The HCAG tracks the TQP participants' identified competencies and completion status, and provides weekly reports to ORO management.
 - (8) TQP qualifying officials include the participants' supervisors and delegated or designated subject matter experts. Refer to the HCAG document, *Oak Ridge Office Qualifying Officials*.
 - (9) The roles and responsibilities of the qualifying officials are listed in the HCAG document, *Oak Ridge Office Qualifying Officials*.
 - (10) All office/facility-specific qualification standards shall be reviewed for affirmation or revision every five years.
- e. Training Administration.
- (1) Guidance. Consistent with DOE O 360.1B, the HCAGs guidance for carrying out its training and development activities is prescribed in ORO O 360 and related job aids developed by staff.
 - (2) Needs Assessment. DOE O 360.1B requires the HCAG to conduct an annual needs assessment. The information obtained from the needs assessment is primarily identified through approved IDPs and identified organizational training needs. The results of this assessment allow the HCAG to identify the developmental needs of ORO's Federal population and schedule or locate training to meet those needs. The needs assessment also allows the HCAG to plan for future needs.

- (3) Annual Training Plan (ATP). Pursuant to DOE O 360.1B, the HCAG identifies training needs in budget submissions, prioritizes those training needs, and allocates resources appropriately. The ATP preparation and maintenance entail the development of a work breakdown structure, task description sheets for fiscal year (FY) activities, distribution of the ATP to the HCAG staff and Assistant Managers, and documenting the status of the FY activities.
 - (4) Training Center.
 - (a) Training Registration - Training requests are initiated and processed electronically. Refer to <http://www.ora.gov/tdd/tddreq.htm> for more information and direction.
 - (b) Training Program and Employee Training Records.
 - 1 The accession and maintenance of training, education, and development records will be conducted in accordance with the guidance in DOE M 360.1-1B. The HCAG enters course and participant training record data into the Training Administration Module of Corporate Human Resource Information System (CHRIS).
 - 2 Employees may access their training record through ESS. The HCAG makes paper-copy employee training and qualification records available to the employee while employed. Upon reassignment to another DOE office or transfer to another Federal agency, the HCAG provides the employee's training records to the ORO Human Resources Division who forwards the records to the gaining organization. Upon separation from Federal service, the HCAG retires the employee's training records in accordance with DOE O 243.1, RECORDS MANAGEMENT PROGRAM, and upon request, provides a copy to the employee.
- f. Restrictions.
- (1) Training Requests and Funding. The HCAG funds ORO training and education courses. In most cases, any training related to the mission of the DOE and approved by the employee's supervisor is normally approved by the HCAG, subject to available funding. The following restrictions apply.
 - (a) Electronic training request forms must be received and approved by the HCAG before the employee registers for an education course and before a training session begins. It is mandatory to ensure that funds are available and obligated, in accordance with Federal regulations. Just as ORO employees cannot travel without approved travel authorizations, they cannot attend training or education courses without approved training requests.
 - (b) The HCAG also reviews the training requests for purposes of notifying employees and/or their supervisors when:
 - an alternative course is available that is more cost-effective,

- a training request is received for off-site training that is scheduled to be conducted in-house,
 - additional documentation is needed, or
 - training must be denied.
- (c) The HCAG requires a minimum of two weeks to process the electronic training request, register the employee, and prepare a purchase order, if required. The HCAG will make best efforts to process “last-minute” requests that are caused by situations that are beyond the control of the employee.
- (2) Educational Reimbursement. ORO recognizes the positive value of providing financial assistance to employees who choose to improve their knowledge, skills, and abilities through higher education courses. In order to ensure consistency and equity in educational opportunities, the following criteria are established for all supervisors and authorizing officials to govern authorizations for employees’ educational course requests. Electronic training request forms must be received and approved by the HCAG before the employee registers for an education course. If all criteria are met, upon successful completion of the course, the employee would submit OR F 3410.5 (see Attachment 1) to the ORFSC for course reimbursement.
- Funds for such training or education must be available within the training budget.
 - In the course of conducting the employee’s performance appraisal and job counseling, the supervisor has agreed on the relevance of courses selected to the DOE mission. (An employee’s reasons for requesting any course which appear too extraneous should be clearly understood by the supervisor, who must decide on the actual relevance before authorizing the course.)
 - Academic training will not be approved solely for the purpose of assisting an employee in obtaining a degree.
 - The employee understands that there are no guarantees or promises of promotion or new assignments as a result of his or her efforts.
 - Academic courses must be taken for credit, not audit.
 - Academic courses must be taken from institutions accredited by the Council for Higher Education Accreditation (CHEA).
 - The employee understands that he or she will not be entitled to reimbursement for educational costs if the academic course is not passed with at least a grade of “C” for undergraduate courses, grade of “B” for graduate level courses, or “passed” if offered only on a pass/fail basis.
- g. Program Design, Development, Implementation, and Evaluation. Training program design, development, implementation, and evaluation practices will be consistent with those prescribed in the applicable DOE Standards and Guides to good practices. These Standards and Guides are located at <http://www.hss.energy.gov/nuclearsafety/techstds/>.

DOE Standards and Guides are used to develop and validate written examinations developed for the TQP and the Facility Representative Program. Other references (e.g., the Examination Administration Guidance, Examination Validation Guidance, Examination Security Agreement, and the Facility Representative Qualification Program Guidelines for Writing Test

Items) are appropriate to use. In addition, the following specific guidance applies to the Facility Representative Program examination development and administration.

- All test items must be developed by subject matter experts and reviewed by instructional experts to ensure appropriate item content and construct validity.
 - Examination results will be kept confidential between the employee, employee's supervisor, and the HCAG. As appropriate, the HCAG approves any other access to these records.
 - All records will be maintained in a locked cabinet with restricted access, using the proper examination security protocol.
- h. Remedial Activities. If an employee does not satisfactorily complete a course, examination, evaluation, or other activity, remedial activities will be completed and documented.
- i. Human Resources Initiatives. The HCAG support to ORO's succession planning activities is described in the "*ORO Leadership 21 Program Manual*." In addition, the HCAG maintains a database with a web interface for the participants to view their program completion status.

6. REFERENCES.

- a. DOE O 243.1, RECORDS MANAGEMENT PROGRAM, dated February 3, 2006.
- b. DOE P 426.1, FEDERAL TECHNICAL CAPABILITY POLICY FOR DEFENSE NUCLEAR FACILITIES, dated December 10, 1998.
- c. DOE M 426.1-1A, FEDERAL TECHNICAL CAPABILITY MANUAL, dated May 18, 2004.
- d. DOE P 450.4, SAFETY MANAGEMENT SYSTEM POLICY, dated October 15, 1996.
- e. ORO O 360, Revision 5, EMPLOYEE EDUCATION AND TRAINING, dated February 22, 2007, ALL CHAPTERS, and any subsequent revisions.
- f. "*Office of Science Integrated Support Center Technical Qualification Program Manual - A Desktop Reference for Supervisors and Participants*."
- g. "*ORO Leadership 21 Program Manual*."
- h. "*Oak Ridge Office Qualifying Officials*."

7. DEFINITIONS.

- a. **APPROVING OFFICIAL**. An ORO or OSTI employee (generally, first- or second-line supervisor) delegated approval authority for training assignments.
- b. **AUTHORIZING OFFICIAL**. A HCAG employee or the OSTI Training Officer designated to review and approve requests for training or educational courses, ensuring Federal requirements are met and that sufficient funds are available.
- c. **COSTED TRAINING**. A training course that incurs direct costs (e.g., costs for registration fees, books, materials, etc.).

- d. **EDUCATIONAL COURSES.** Courses provided by CHEA accredited colleges, universities, or technical schools (graduate and undergraduate) both onsite and offsite.
 - e. **NON-COSTED TRAINING.** A training course that incurs no direct costs. Non-Costed courses are funded primarily by the provider.
 - f. **TRAINING CENTER (TC).** The TC is a centrally located office responsible for maintaining literature on training resources and upcoming courses, processing all training requests and related forms, maintaining ORO employee training records, and maintaining a variety of training and course related materials such as textbooks, videotapes, audiotapes, periodicals, and technology-supported learning programs.
8. CONTRACTOR REQUIREMENTS DOCUMENT. None.
9. ATTACHMENTS.

Attachment 1 – OR F 3410.5, “*Reimbursement Voucher for Training Expenses,*” dated May 2006.

REIMBURSEMENT VOUCHER FOR TRAINING EXPENSES

U.S. DEPARTMENT OF ENERGY, OAK RIDGE OFFICE

Payee's Name: _____

Mailing Address: _____

Course Title: _____

Training Dates: _____

ITEM	DOLLARS	CENTS
A. TUITION		
B. BOOKS		
C. OTHER (explain below)		
D. TOTAL		

The minimal acceptable grade for satisfactory completion of academic courses is "C" at the undergraduate level and "B" at the graduate level.

For reimbursement – Complete this form and submit it to the Oak Ridge Financial Service Center (FM-71) along with the following:

1. Copy of SF-182, signed by supervisor in block 30.
2. Copy of grade or certificate showing class was successfully completed.
3. Itemized receipts for tuition and books which show costs were paid.

I certify that the expenses claimed herein are correct and proper.

(Date)

(Employee)