

DIRECTIVES CONTROL FORM - ORO O FINAL DIRECTIVE

PART A (To be completed by the Division of Primary Interest (DPI))

1. **NUMBER AND TITLE OF DIRECTIVE:** ORO O 360, Chapter I, Chg. 1, TRAINING
2. **PURPOSE OF TRANSMITTAL:** New Directive Revised Directive Page Change
3. **THIS DOCUMENT MAY AFFECT THE WORK PERFORMED BY THE FOLLOWING CONTRACTORS:** (Check appropriate boxes)

No (all contractors)

Yes If yes, whom? LMES LMER ORAU SURA

Bechtel Jacobs Company

Other contractors (list by type)

Many ORO contractors have approved S/RIDs or WSS sets that may affect applicability of contractor requirements from this directive. Applicability of contractor requirements must take into account the approved standards set for each particular contract.

4. **SIGNIFICANT PROVISIONS:** Are there any significant changes or impact?

No Yes If yes, describe: This ORO Chapter is part of the ORO sunset review process. Changes to this Chapter include minor editorial revisions to reflect the current organizational title of the ORO Human Resources Division and the current title and organizational structure of the Training and Development Group.

5. **CONTACT POINT:** Ted Hinkel Training and Development Group, AD-443 574-8335
Name Organization Telephone

PART B (To be completed by the Directives Management Group (DMG)):

6. **FILING INSTRUCTIONS:**

<u>Remove</u>	<u>Dated</u>	<u>Insert</u>	<u>Dated</u>
ORO O 360, Chapter I Pages I-1 through I-13	09/30/1996	ORO O Control Form ORO O 360, Chapter I, Chg. 1, Pages I-1 through I-13	02/09/1999 02/09/1999

*ORO Orders are available on the ORO Directives Management Home Page
[http://www.ornl.gov/doe_oro_dmg/orchklst.htm] within 5-10 working days after receipt of this Control Form.
The ORO Orders will no longer be mailed in printed copy unless you do not have Internet capabilities.*

7. **APPROVED FOR DISTRIBUTION IN ACCORDANCE WITH THE OFFICIAL DIRECTIVES DISTRIBUTION LIST:**

Original signed by

Jennifer H. Cusick, AD-440
Signature Management Analyst, AD-440

02/09/1999
Date

INSTRUCTIONS TO ADDRESSEES: THIS FORM IS TO BE FILED WITH THE DIRECTIVE AND RETAINED

Rev. 08/04/1998

U.S. Department of Energy

Oak Ridge Operations

ORO O 360 Chapter I Change 1

DATE: 02/09/1999

SUBJECT: TRAINING

1. PURPOSE. This Chapter correlates to DOE O 360.1, TRAINING, dated May 31, 1995, by assigning responsibility and accountability and providing administrative guidance to the Oak Ridge Operations (ORO) and the Office of Scientific Information (OSTI). Nothing in this issuance changes any requirements contained in any DOE Order.
2. CANCELLATION. This Chapter cancels and replaces ORO O 360, Chapter 1, TRAINING, dated September 30, 1996.
3. APPLICABILITY. The provisions of this Chapter apply to all ORO and OSTI employees.
4. RESPONSIBILITIES.
 - a. Principal Staff.
 - (1) Perform those tasks identified in DOE O 360.1, subparagraphs 5b(3), (4), (8) and 5f.
 - (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 Training and Development Group (TDG) for ORO employees and the Office of Assistant Manager for Resource Management (AMRM) for OSTI employees.
 - b. Team Leader, Training and Development Group, ORO, and Assistant Manager for Resource Management, OSTI.
 - (1) Perform those tasks identified in DOE O 360.1, subparagraph 5e.
 - (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 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.

- c. Director, Human Resources Division, and Assistant Manager for Resource Management, OSTI, perform those tasks identified in DOE O 360.1, subparagraph 5b(5) and Chapter II, paragraph 6.
- d. Director, Oak Ridge Financial Service Center (ORFSC).
 - (1) Processes ORO F 3410.5, "Reimbursement Voucher for Training Expenses" (Attachment 3 of this Chapter) for direct costs to employees who undertake training on a reimbursable basis.
 - (2) Coordinates with ORO TDG and the OSTI AMRM any cost deviations from initial obligations.
- e. Director, Procurement and Contracts Division, ORO, and Assistant Manager for Resource Manager, OSTI, 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.
- f. Employees.
 - (1) If selected to participate in the TQP, complete the requirements of DOE O 360.1, Chapter II, subparagraphs 3b and 3g(2), and paragraph 5.
 - (2) Submit training and qualification documentation to TDG or the OSTI Training Officer.
 - (3) Complete OR F 3410.4, "DOE-ORO Training Request Form" (Attachment 1 of this Chapter), or OSTI F 3410.4, "Request, Authorization, Agreement and Certification of Training" (Attachment 2 of this Chapter) to request training.
 - (4) Submit ORO F 3410.5 to ORFSC, along with copies of receipts, bills, and course grades, if appropriate, within 90 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).

5. REQUIREMENTS AND PROCEDURES.

- a. Technical Qualification Program. The following guidelines support DOE O 360.1 and describe the ORO process.
 - (1) General.
 - (a) TDG provides briefings, information, and materials to TQP participants. A standard format for documentation and the qualification process is used to promote consistency and proper record keeping and to allow accurate tracking of qualification progress.
 - (b) TDG provides reports on TQP status to ORO management and DOE Headquarters (HQ).

- (c) ORO organizations that do not use the TDG materials must provide to TDG sufficient information to allow TDG to track and report on personnel qualification progress.
 - (d) TDG provides support and assistance to line management in identification of training courses for meeting qualification requirements. TDG arranges for technical training based on training needs survey and requests from ORO employees.
 - (e) TDG provides assistance to line managers in development of office/facility-specific qualification standards that build upon the requirements of the General Technical Base and functional area qualifications standards.
- (2) Participant Selection.
- (a) Division Directors select program participants and notify TDG of the participants' names, primary and secondary functional areas, and applicable office/facility-specific qualification standards.
 - (b) Based on this information from Division Directors, TDG provides instructions for development of a Technical Qualification Record (TQR) that documents the competency exemptions, equivalencies, development activities, and completion.
 - (c) TDG must be notified of changes in staff participation and functional area/qualification standard assignment changes. TDG updates the TQR database for the affected individuals and issues revised TQRs. Schedules for completing new assignments must be consistent with the DOE Order.
- (3) Exemptions and Equivalencies.
- (a) Exemptions are based on the individual's job assignment and whether overall development would be enhanced by completing the competency.
 - (b) Equivalencies are approved only after the individual has produced satisfactory, objective evidence of having met the competency through previous training, education, or experience. An evidence file must be compiled for review by the supervisors approving the equivalencies.
 - (c) Objective evidence for justifying equivalencies could include:
 - Formal training documentation/records
 - Course completion certificates
 - University/college transcripts or grade reports
 - Professional licenses/certificates/registrations
 - Examination results

- Performance appraisals
 - Work products
 - Position descriptions
- (d) The evidence file and applicable portions of the TQR are forwarded to TDG for tracking and filing in the individual's training file.
- (4) Development Activities.
- (a) When the TQR is developed, the individual should identify activities planned for satisfying each competency.
- (b) Upon completion of development activities, documentation of the activities should be retained for submittal to TDG. This documentation can include course completion certificates, job performance checklists, evaluation comments written by the supervisor, etc.
- (5) Evaluation.
- (a) The supervisor is responsible for evaluating the individual's knowledge or performance upon completion of development activities for a competency.
- (b) Subject matter experts may be used by supervisors to assist in evaluating an individual for completion of competencies. Signature authority for competency completion remains with the supervisor unless written delegation of that authority is included in the TQR for each affected individual.
- (6) Tracking and Reporting.
- (a) On a quarterly basis, participants transmit to TDG signed off development activity portions of their TQRs and any accompanying documentation to support the completion of the associated competencies. Information may be submitted more frequently if desired.
- (b) TDG updates the TQR database accordingly, files the information in the individuals' training files, and prints revised TQR development activity forms for transmittal to the participants. The participants may use these revised forms for sign off of competencies during the next quarter.
- (c) TDG is required to report on qualification progress and program status to DOE HQ on a quarterly basis. In addition, TDG reports to ORO management as needed to allow monitoring of progress by organization.
- (7) Remedial Activities. If a participant does not satisfactorily complete a course, examination, evaluation, or other activity, remedial activities should be completed and documented.

- (8) Completion of Qualification.
- (a) The supervisor(s) reviews the qualification materials and any other qualification activities (e.g., written examinations, oral examination, walkthrough and interview documents, etc.) and, by signature, concurs with completion.
 - (b) The TQR and supporting qualification records are submitted to TDG for review and filing in the individual's training files.
 - (c) After review of the TQR and qualification records, TDG issues a certificate of completion to the individual. The certificate is signed by the Manager.
- (9) Requalification.
- (a) Requalification activities specified in the functional area qualification standards, as well as any required by office/facility-specific qualification standards, can be identified in an Individual Development Plan.
 - (b) When individuals are assigned new competencies from any qualification standard, TDG must be notified so the TQR can be updated. Completion of these new competencies is handled as with the original competencies.
 - (c) Facility Representative program procedures/manuals may contain details of the requalification activities for Facility Representatives.
- (10) Course Development. The requirements of DOE O 360.1, Chapter III must be taken into account when developing any technical training course that supports the TQP.
- (11) Course Examinations. As appropriate, DOE O 360.1, subparagraph 3b(2) is followed for guidance in developing and validating written examinations for courses developed for the TQP, which includes the Facility Representative Program.
- (a) All test items must be developed by subject matter experts and reviewed by instructional experts to ensure appropriate item content and construct validity.
 - (b) Any TDG or Facility Representative Program guidance or procedures may be used as reference (e.g., the Examination Administration Guidance, Examination Validation Guidance, Examination Security Agreement, the Facility Representative Qualification Program Guidelines for Writing Test Items, and procedure TDG010, General Technical Base Qualification Standard Test Guidance).
 - (c) Examination results will be kept confidential between the employee, employee's supervisor, and TDG. As appropriate, TDG 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.

b. Training Request and Approval.

(1) Requestor.

- (a) Identifies training need.
- (b) Completes OR F 3410.4 or OSTI F 3410.4 for all training or educational course(s) (regardless of duration) unless otherwise directed by TDG. Forwards the form and course information through their immediate supervisor to the Approving Official. Course information is not necessary for in-house training.

NOTE: Requests must be complete, accurate, and submitted in time to reach the ORO Training Center (TC) or OSTI Training Officer no later than three weeks prior to the registration date of the desired course/program. Each request must describe the proposed course sufficiently to (1) permit a determination whether the proposed training falls within the scope of Federal training requirements, and (2) identify the name and address of the training provider or vendor, location and dates of the training course, cost of the training, and other appropriate data.

- (c) Notifies the TC if training is not attended or is attended but not satisfactorily completed.
- (d) Upon completion of training:
 - 1 Completes the Training Evaluation Form (TEF), discusses the training with their Approving Official, and ensures the Approving Official reviews and signs the TEF and, if costed training, Block 30a of DOE F 3410.4.
 - 2 If an educational course, completes OR F 3410.5; attaches copy of grade, DOE F 3410.4, and receipt; and submits this documentation to the ORFSC.
 - 3 Submits completed TEF and (if applicable) OR F 3410.4 or OSTI F 3410.4 to TDG, ORO, or Training Officer, OSTI.

- (2) Approving Official. Reviews and approves/disapproves OR F 3410.4 or OSTI F 3410.4, notifies requestor of determination, and forwards the form to the TC.

NOTE: Managers at the Division Director and above may approve their own training requests (subject to funding availability).

(3) Training Center, ORO, and Training Officer, OSTI.

- (a) Enters identification data from the training request forms into the "Incoming Log," assigns a course number, and enters data from OR F 3410.4 or OSTI F 3410.4 into the Automated Training Recordkeeping System (ATRS).

- (b) If applicable, identifies and notifies the requestor of the requirement for a Continuing Service Agreement.
- (c) Registers the requestor for training.

NOTE: The requestor registers for educational courses after approval by TDG, ORO, or Training Officer, OSTI.

- (d) Prints the Notification of Approval to Attend Training/Educational Training Memo, DOE F 3410.4, "Request, Authorization, Agreement and Certification of Training" (if costed training), and the Training Evaluation Form.
 - (e) The Training Center forwards ORO employee training request form (TRF) packages to TDG, ORO. The Training Officer, OSTI, retains forms and records for OSTI employees.
- (4) Training and Development Group, ORO, and Assistant Manager for Resource Management, OSTI.

(a) Authorizing Official.

- 1 Reviews the TRF package to ensure compliance with DOE Orders and other Federal regulations. When applicable, notifies the requestor's Approving Official of noncompliance and provides suggested training alternatives.
- 2 Ensures funds are available. If not, contacts the Planning and Budget Division to determine if funds are available for reallocation. If no funds are available for reallocation, notifies the requestor's Approving Official.
- 3 Approves the request when all requirements are met.

- (b) Maintains the training budget.
- (c) For costed training, authorizes the vendor to charge cost to the government credit card or initiates a purchase order for payment.
- (d) Distributes approved TRF paperwork to the requestor, the vendor, the ORFSC, and the TC as appropriate.
- (e) Reviews completed TEF/DOE 3410.4 and submits to the TC for documentation in the employee training record.

6. REFERENCES. None.

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 TDG 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 (i.e., costs for registration fees, books, materials, etc.). DOE F 3410.4 is issued for Costed Training.
- d. Educational Courses. Courses provided by 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. DOE F 3410.4 is not issued for Non-Costed Training.
- f. Training Center (TC). The TC is a centrally located office responsible for maintaining literature on training resources and upcoming courses, processing all training related forms, maintaining ORO employee training records, and maintaining a variety of training related materials such as books, videos, periodicals, audio tapes, computer based and interactive laser disk training programs.

8. CONTRACTOR REQUIREMENTS DOCUMENT. None.

9. ATTACHMENTS.

- a. Attachment 1 - OR F 3410.4, DOE-ORO TRAINING REQUEST FORM, dated September 1996.
- b. Attachment 2 - OSTI F 3410.4, REQUEST, AUTHORIZATION, AGREEMENT AND CERTIFICATION OF TRAINING, dated August 1994.
- c. Attachment 3 - ORO F 3410.5, REIMBURSEMENT VOUCHER FOR TRAINING EXPENSES, dated September 1996.

Attachment 1

OR F 3410.4 (9/96)

SECTION A	TRAINEE INFORMATION
1. APPLICANT: 2. ROUTING SYMBOL: 3. SOCIAL SECURITY NUMBER: 4. HOME TELEPHONE: 5. WORK TELEPHONE:	6. DESCRIBE ANY ACCOMMODATION NEEDED DUE TO PHYSICAL HANDICAPPING CONDITION.

SECTION B	TRAINING COURSE DATA
7. NAME AND MAILING ADDRESS OF TRAINING VENDOR	8. LOCATION OF TRAINING SITE
9. COURSE TITLE: TRAINING OBJECTIVES:	
10. IDP REQUIRED? [] YES [] NO 11. TECHNICAL QUALIFICATION PROGRAM REQUIRED? [] YES [] NO	IF NO ON BOTH 10. AND 11., BRIEFLY DESCRIBE HOW COMPLETION OF COURSE WILL BENEFIT ORO.

12. CATALOG/ COURSE NUMBER	13. TRAINING PERIOD			14. NUMBER OF COURSE HOURS	15. TRAINING CODES			
	YEAR	MONTH	DAY	DURING DUTY	CODE		CODE	
	START			NON-DUTY	A. PURPOSE		C. SOURCE	
	COMPLETE			TOTAL	B. TYPE		D. SPECIAL INTEREST	

SECTION C ESTIMATED COSTS AND BILLING INFORMATION						
16. DIRECT COSTS				17. INDIRECT COSTS		18. CHARGE CODE
	ITEM	DOLLARS	CENTS	ITEM	AMOUNT	APPROPRIATION/FUND
	A. TUITION			A. TRAVEL	\$	B&R _____
	B. BOOKS OR MATERIALS			B. PER DIEM		COST CENTER _____
	C. OTHER			C. OTHER		PO NUMBER _____
	D. TOTAL			D. TOTAL	\$	

SECTION D	APPROVALS
SIGNATURE: IMMEDIATE SUPERVISOR (NAME AND TITLE) (PHONE EXTENSION)	
SIGNATURE: DIVISION DIRECTOR (NAME AND TITLE)	

SECTION E	TDG USE ONLY
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AUTHORIZING OFFICIAL SIGNATURE	DATE
PRIVACY ACT STATEMENT: Solicitation of this information is authorized by 5 U.S.C. 301; Department of Energy Organization Act, including authorities incorporated by reference in Title III of the Department of Energy Organization Act; Executive Order 12009; Government Employees Training Act of 1958; Federal Personnel Manual Bulletin 290-15; Federal Personnel Manual, Chapter 410 and Appendix A thereto. The information on this form is used in the administration of the Federal Training Program. Personal information provided on this form is given on a voluntary basis as is participation in any training program. Failure to provide this information, however, may result in ineligibility for participation in training programs. The Social Security Number (SSN) is requested under the authority of Executive Order 9396 (November 22, 1943). The SSN is used as an identifier to match the person completing the training with the correct master record in the Departmental Training Information System. It will be used primarily to give you recognition for completing the training and to accumulate government-wide training statistical information. The personal information obtained from this form will be maintained in system of record DOE-28, General Training Records.	

INSTRUCTIONS

Section A - Trainee Information

Item 1-6 Self-explanatory.

Section B - Training Course Data

Item 7- 11 Self-explanatory (training objectives should be limited to three lines).

Item 12 Course numbers are listed on ORO Training Bulletins.

Item 13 Enter the year, month, and day the course begins and ends (e.g., a course starting September 15, 1995, and ending December 15, 1995, would be entered at 95/09/15 and 95/12/15).

Item 14 The number of course hours can be determined by multiplying the number of hours attended per week by the number of weeks of the course.

Item 15 Codes and definitions are provided below.

Section C - Estimated Costs and Billing Information

Item 16 Tuition costs for in-house courses will be allocated by training office and need not be included on this form; costs for other courses must be provided.

Item 17 An estimate of any travel costs related to the training course must be provided.

Item 18 B&R codes are unique to each division; the employee responsible for preparing and tracking your travel budget can supply these codes. The Cost Center and PO number will be provided by the Training and Development Division.

Sections D & E - Signatures

Self-explanatory

TRAINING CODES FOR ITEM 15

A. Purpose

1. Mission or program change
2. New technology
3. New work assignment
4. Improvement present performance
5. Meet future staffing needs
6. Develop unavailable skills
7. Trade or craft apprenticeship
8. Orientation
9. Adult basic education

B. Type

1. Executive and Management
2. Supervisory
3. Legal, Medical, Scientific, or Engineering
4. Administration and analysis
5. Specialty and technical
6. Clerical
7. Trade or craft
8. Orientation
9. Adult basic education

C. Source

1. Government-internal
2. Government-interagency/interservice
3. Non-government-College/Prof. Assoc./Non-profit
4. Non-government-private/other

D. Special Interest

0. No special program
1. Executive development
2. Supervision
3. Upward mobility
4. Equal employment opportunity
5. Occupational safety and health
6. Labor Management relations
7. Senior Executive Service (SES) Candidate Development Program
8. Competitive Management Development Program
9. Competitive Supervisory Development Program
 - a. Automated data processing
 - b. Apprenticeship program
 - c. Educational assistance awards program

SECTION A—TRAINEE INFORMATION

Items 1-3 Submit one OSTI F 3410.4 for each course. If a single supervisor has more than three nominees for the same course, attach a list of additional names, social security numbers, and phone numbers to original form.

SECTION B—TRAINING COURSE DATA

- Item 4 Provide complete mailing address of vendor. For location, city name is sufficient.
- Item 5 Training objectives should be limited to three lines.
- Item 6 Course number will be added by the training officer.
- Item 7 Enter year, month, and day the course begins and ends.
- Item 8 The number of course hours can be determined by multiplying number of hours attended per week by number of weeks per course or quarter.
- Item 9 Codes and definitions are provided below.

SECTION C—ESTIMATED COSTS AND BILLING INFORMATION

- Item 10 Direct tuition costs for in-house courses will be allocated by training office and need not be included on this form; costs related to the training course must be provided. Appropriation/fund codes for the current fiscal year are provided. Please note that all codes will change with each fiscal year (forms will be updated annually).
- Item 11 An estimate of any travel costs related to the training course must be provided. Appropriation/fund codes for the current fiscal year are provided. Please note that all codes will change with each fiscal year (forms will be updated annually).

TRAINING CODES FOR Item 9

- | | |
|--|---|
| <p>A. Purpose</p> <ul style="list-style-type: none">1 Mission or program change2 New technology3 New work assignment4 Improve present performance5 Meet future staffing needs6 Develop unavailable skills7 Trade or craft apprenticeship8 Orientation9 Adult basic education | <p>C. Source</p> <ul style="list-style-type: none">1 Government—internal2 Government/interagency/interservice3 Non-government—college prof.4 Non-government—private/other |
| <p>B. Type</p> <ul style="list-style-type: none">1 Executive and management2 Supervisory3 Legal, medical, scientific, or engineering4 Administration and analysis5 Specialty and technical6 Clerical7 Trade or craft8 Orientation9 Adult basic education | <p>D. Special interest</p> <ul style="list-style-type: none">0 No special program1 Executive development2 Supervision3 Upward mobility4 Equal employment opportunity5 Occupational safety and health6 Labor management relations7 Senior Executive Service (SES) Candidate Development8 Competitive Management Development Program9 Competitive Supervisory Development Programa Automated data processingb Apprenticeship program |

PRIVACY ACT STATEMENT

General—This information is provided pursuant to Public Law 93-579 (Privacy Act of 1974), December 31, 1974, for individuals completing Federal nomination for training forms.

Authority—The Government Employees Training Act of 1958 (U.S. Code, Title 5, sections 4101 to 4118).

Purposes and Uses—The information on this form is used in the administration of the Federal Training Program. The purposes of this form is to document the nomination of trainees and completion of training, and it serves as the principal-repository of personal, fiscal, and administrative information about trainees and the programs in which they participate. The form becomes a part of the permanent employment record of participants in training programs and is included in the Department of Energy Departmental Training Information System.

Effects of Nondisclosure—Personal information provided on this form is given on a voluntary basis as is participation in any training program. Failure to provide this information; however, may result in ineligibility for participation in training programs.

Information Regarding Disclosure of Your Social Security Number Under Public Law 93-579, Section 7(b)—Disclosure by you of your Social Security Number (SSN) is mandatory to obtain the training you are seeking. Solicitation of the SSN by the Office of Personnel Management is authorized under provisions of Executive Order 9397, dated November 22, 1943. The SSN is used as an identifier to match the person completing the training with the correct master record in the Departmental Training Information System. It will be used primarily to give you recognition for completing the training and to accumulate government wide training statistics information. The information gathered through the use of the number will be used only as necessary in training administration processes carried out in accordance with established regulations. The SSN also will be used for the selection of persons to be included in statistical studies of training management matters. The use of the SSN is made necessary because of the large number of present Federal employees who have identical names and birth dates, and whose identities can only be distinguished by the SSN.

