

10-11-01

THIS SHEET IS TO REMAIN WITH DOE M 360.1-1B.

This page transmits notification of administrative changes to DOE M 360.1A-1, *Federal Employee Training Manual*, dated 9-21-99. This page also serves notice that DOE M 360.1-1A is hereby cancelled immediately, and has been superceded by DOE M 360.1-1B.

These administrative changes occurred to bring DOE M 360.1-1A into compliance with the National Nuclear Security Administration statute (title 32 of the National Defense Authorization Act for Fiscal Year 2000, Public Law 106-65).

Approved: 10-11-01

This directive was reviewed and certified as current and necessary by (Enter Name), (Enter Title)
Director, Office of Management, Budget and Evaluation/Chief Financial Officer, XX-XX-XXXX.

FEDERAL EMPLOYEE TRAINING MANUAL



U.S. DEPARTMENT OF ENERGY

Office of Management, Budget and Evaluation

Distribution:
All Departmental Elements

Initiated By:
Office of Training and
Human Resource Development

FEDERAL EMPLOYEE TRAINING MANUAL

1. PURPOSE. This Manual provides detailed requirements to supplement DOE O 360.1B, *Federal Employee Training*, dated 10-11-01. The information in this Manual is intended to assist in improving Federal workforce performance under Department of Energy (DOE) managed Federal employee training. This includes training, academic and other education programs, developmental assignments, workforce development programs, which may use a range of personnel and training authorities, and other learning-related activities.
2. APPLICABILITY. This Manual applies to all DOE elements, including those in the National Nuclear Security Administration (NNSA), and Federal employees. The provisions of this Manual have special application as stated below:
 - a. Administrator, National Nuclear Security Administration and Director, Naval Nuclear Propulsion Program. The Administrator, National Nuclear Security Administration, implements and oversees all policy and practices pertaining to DOE O 360.1B for activities under the Administrator's cognizance, with the exception, that in accordance with the responsibilities and authorities assigned by Executive Order 12344, statutorily prescribed by 42 United States Code (U.S.C.) 7158, note, and to ensure consistency throughout the joint Navy/DOE organization of the Naval Nuclear Propulsion Program, implements and oversees all policy and practices pertaining to DOE O 360.1B for activities under the Director's cognizance.
 - b. Uniformed officers of military or civilian services in pay status who are working in DOE assignments must have training approved under this Manual, but no training funds appropriated to DOE will be authorized to pay for their training, except where training participation is on a no-material-cost basis.
 - c. Intergovernmental Personnel Act assignees, students hired under the Student Career Experience Program, and civilian employees of other Federal agencies on detail to DOE will have training approved consistent with the terms of their assignments and this Manual.
3. REFERENCE. DOE O 360.1B, *Federal Employee Training*.
4. CONTACT. Questions concerning this Manual should be addressed to the Office of Training and Human Resource Development at 202-287-1656.

BY ORDER OF THE SECRETARY OF ENERGY:



FRANCIS S. BLAKE
Deputy Secretary

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CHAPTER I

FEDERAL EMPLOYEE TRAINING

1. PURPOSE OF FEDERAL EMPLOYEE TRAINING. The purpose of training is to improve workforce performance related to the mission and strategic objectives of DOE through a cyclical program of training planning, needs analysis and assessment, design, development, implementation, and evaluation. The term “training” describes a number of functions:
 - a. formal and informal training, education, developmental, and other learning assignments;
 - b. application of acquired knowledge, skills, and experience to workplace responsibilities; and
 - c. use as a tool to recruit and maintain a talented, diverse, and versatile workforce.
2. USE. This Manual provides detailed requirements for Federal employee training within DOE. It is designed to be used by training program officials, human resource management officials, executives, managers, supervisors, and employees who share the responsibilities for administering and the opportunities to participate in Federal employee training. Basic requirements, restrictions, responsibilities, and references are contained in the associated Order, DOE O 360.1B.
3. TRAINING POLICIES, PROCEDURES, AND REPORTS
 - a. Element training policies and procedures. Each DOE element must have training policies and/or procedures that establish an integrated cycle of organizational needs analysis and training needs assessment, planning, resource allocation, design and delivery, evaluation, and reporting processes which are consistent with the requirements and responsibilities of this Manual and include, but are not limited to, the following:
 - (1) Official(s) designated to approve training requests, other than first-line supervisors.
 - (2) Official(s) designated to authorize training requests, limitations of such authorities, and concurrences required.
 - (3) Official(s) responsible for training program management, such as completion of element training plan, conduct of needs assessments and evaluations, and oversight of developmental assignments.

- (4) Annual review and revision of individual development plans.
 - (5) Continued service obligation conditions imposed by the DOE element.
 - (6) Procedures for waiver of training completion and continued service obligations.
 - (7) Employee obligations (i.e., individual development planning, initiation of training requests, completion and evaluation of training, and continued service obligations).
 - (8) Procurement authorities delegated to training management officials.
 - (9) Employee training and training program records creation, maintenance, and disposition.
- b. DOE element annual training summary reports. Each DOE element must, within 3 months of the close of the fiscal year, complete an annual training summary report on objectives, costs, and incidents of training that describes at least the following:
- (1) Accomplishments in relation to critical needs, goals, objectives, and training outcome and performance measures.
 - (2) Training expenditures compared to number of Federal training staff, training staff travel funds, and program funds budgeted.
 - (3) Annual information as requested, for example:
 - (a) number of employees in workforce;
 - (b) training office or organization staff cost;
 - (c) total expenditure for purchased training goods and services;
 - (d) total duty hours and non-duty hours in training;
 - (e) total duty hour and non-duty hour training incidences;
 - (f) cost of participant salaries while in training;
 - (g) training-related travel; and
 - (h) organizational, functional, and occupational needs assessments completed and percent of employees with individual development plans.
- c. Reports on training programs under training agreements. DOE elements that provide training under training agreements must have a specific, separate component of their annual summary report that describes the training.

- d. DOE annual training summary report. The Office of Training and Human Resource Development must prepare an annual training summary report describing costs, instances, and accomplishments relative to critical, training-related, DOE mission objectives and DOE-wide training goals and needs.

4. TRAINING NEEDS ASSESSMENT.

- a. Critical training needs. Each DOE element must identify annually its critical training needs through organizational analyses and annual review and revision of individual development plans.
- b. Coordination of multi-element training needs assessments. The DOE Director of Training and Human Resource Development must coordinate and evaluate multi-element training needs assessments, as needed, including functional and occupational needs assessments, which are designed to meet DOE-wide training program objectives.
- c. Individual development plans.
 - (1) The immediate supervisor must annually discuss training needs with each employee in regard to job requirements, including technical qualification standards, and the competencies needed to meet those requirements. Immediate supervisors must have this discussion with new and reassigned employees within 60 days of the person joining DOE or being reassigned.
 - (2) Based on this discussion, each employee must have the opportunity to prepare an individual development plan which must be reviewed and revised, as appropriate, annually. Supervisors must ensure that all employees have an individual development plan, except where supervisors determine and record that individual development planning would result in little or no benefit to DOE because of an employee's position, expertise, career status, performance level, or personal circumstances.
 - (3) The individual development plan describes reasonable and appropriate employee training objectives and activities. The plan does not approve and/or authorize any training; all training must be approved and authorized in accordance with the training policies and procedures of the DOE element.

5. TRAINING PLANS AND RESOURCES.

- a. DOE element training plans. Each DOE element must have a training plan which describes the following:

- (1) Element critical needs or those immediate training needs which, when met, will be effective in improving organizational and workforce performance.
- (2) Training goals and objectives.
- (3) Training outcome and performance measures.
- (4) Federal training staff and estimated training staff travel funds.
- (5) Training budget, including future resource estimates for multi-year programs.
- (6) Major training delivery programs, projects, and other significant activities.
- (7) Schedules for review and revision of individual development plans, conduct of needs assessment(s), completion of annual training summary report, and initiation of periodic review of training plan.
- (8) Mandatory training
 - (a) Compliance training—training required by statute, regulation, DOE directives, and contract management obligations.
 - (b) Directed training—training required by heads of elements (first-tier Headquarters and senior operations/field office officials).
- (9) Manager, supervisor and team leader training
 - (a) Training in leadership and management competencies, such as strategic planning, policy development and agency representation, Federal and DOE budget processes, managing a diverse workforce, conflict management, and human resource management and development.
 - (b) Work assignments that provide experience in the use of leadership competencies.
- (10) Each DOE element that provides DOE-wide or multi-element training must have a separate component of its training plan for that multi-element training program(s).

b. Training resources.

- (1) Elements must include training funding in budget submissions, prioritize training needs, and allocate resources accordingly in training plans.
- (2) Each DOE element, in allocating resources to support training programs, must give due consideration to DOE and element strategic objectives; training required by law, regulation, DOE directive, or a technical qualification or work performance competency standard; and individual training needs as determined through element needs analyses and functional, occupational, and individual needs assessments and individual development plans.
- (3) Training costs can be paid from program funds where the training supports DOE mission and program objectives and the training is an administratively practical method of meeting the necessary program expense of ensuring performance of assigned DOE duties.
- (4) Travel funds may be used to pay conference fees where the conference qualifies as a training activity and official travel is approved to attend the conference.
- (5) Funds, up to the cost of training programs or services provided to non-DOE participants (or equivalent training services), must be received and credited to the DOE or other appropriation supporting such training activities in accordance with law and standard Federal Government and DOE accounting policies and procedures. Examples of this are—
 - (a) unique training provided to private sector corporations or individuals under the Work-for-Others program;
 - (b) professional, administrative, and technical training that is available to Federal employees and is provided to State and local government officials and employees; and
 - (c) training provided to or developed and delivered under interagency agreements or cooperative arrangements with other Federal agencies.
- (6) DOE contractors, citizens, and other persons on an individual basis can only participate in training paid for with DOE Federal employee training funds (a) on a space-available basis, (b) if it will benefit DOE, and (c) either direct statutory or contract authority exists to provide such training or participation would be at no-material-cost to DOE.

- (7) Training costs, contributions, awards, or services paid for by Internal Revenue Service designated 501(c)(3), nonprofit organizations may be accepted by employees after receiving approval in accordance with element policies and/or procedures.

6. WORKFORCE DEVELOPMENT PROGRAMS UNDER TRAINING AGREEMENTS.

DOE-wide (training programs under designated training centers and multi-element retraining and career mobility programs) and element-level workforce development programs are to be governed by training agreements (see Chapter II).

7. ANNOUNCEMENT AND CANCELLATION OF TRAINING. DOE-sponsored training will be publicly announced by the responsible element; supervisors and employees will be notified of any cancellation of training as far in advance as practical.

- a. Merit-based selection. Announcements must include merit-principle-based procedures to be used to select eligible employees for a single incidence of training or for a training program that includes one or more training activities when—

- (1) the training is required for career advancement in the participant's current occupation,
- (2) more employees may qualify for and wish to participate in the training than available resources permit and the training may lead to promotion above the current, career ladder promotion potential of eligible applicants, or
- (3) the total duration of the training period is over 120 days.

- b. Notice of cancellation.

- (1) Employees scheduled to participate in training provided DOE-wide or by a DOE element must be notified of cancellation of that training a minimum of seven calendar days before the planned start date, unless special circumstances require cancellation at a later date.
- (2) When training participants cancel attendance at or cannot attend an approved training activity, they must either inform appropriate supervisory and training officials prior to the beginning date or pay for the cost of the training activity, unless completion requirements are waived.

8. TRAINING REQUESTS, APPROVALS, AND AUTHORIZATIONS. The training participant ensures completion of, a supervisory official approves, and a designated

official authorizes training requests in accordance with element training policy and procedures and/or applicable workforce development program training agreements.

- a. Training as a work assignment. Training that DOE pays for in whole or in part is an employee work assignment subject to DOE and DOE element workplace policies and procedures, including time and attendance and leave approval.
 - (1) Full-time training is training during paid work hours, including administrative leave, but does not include hours of annual leave.
 - (2) Part-time training is training outside of paid work hours and may include hours of annual leave during which training takes place.
- b. Preparation of training requests. The participant ensures completion of the training request, with appropriate assistance of designated staff, in accordance with the DOE element's training policies and procedures. If a continued service agreement is required (see Chapter III), it must be signed and submitted with the training request.
- c. Training approval. Training approval, i.e., certification that training is an appropriate expense related to improving DOE mission-related performance, is a supervisory function; it may be delegated to a non-supervisory official, such as a team leader or senior professional employee, but no employee can approve his or her own training request and no subordinate individual can approve training for a superior.
- d. Training authorization. Second-level supervisory officials (managers) or a designated training official(s) must be assigned responsibility for training authorization, i.e., the certification that the training meets legal and administrative requirements and that appropriate funds are available.
- e. Status of training requests. Employees must be notified of action on training requests in a timely manner.
- f. Notification of participation. Employees must be notified of approved participation or registration a minimum of 7 days in advance of the start date for training provided by DOE or a DOE element, unless special circumstances exist.
- g. Concurrence of the Secretary. The Secretary must concur in training involving the White House, the Office of Management and Budget, or the Congress. A memorandum requesting the concurrence must be sent to the Secretary with a copy of the approved and authorized training request as an attachment.

- h. Non-U.S. training. The Assistant Secretary for Policy and International Affairs must concur in any training involving foreign travel, organizations, or individuals. A memorandum requesting the concurrence and describing the foreign involvement must be sent to the Assistant Secretary for Policy and International Affairs, with a copy of the approved and authorized training request as an attachment. Exemption: the heads of the Bonneville Power and the Western Area Power Administrations can authorize Non-U.S. training without the above concurrence where it involves only Mexican and/or Canadian individuals, locations, travel, or entities.
- i. Payment conditions.
- (1) Payment of any or all costs related to a training activity is discretionary and made in accordance with DOE and DOE element policies and procedures. This includes costs such as salary, tuition, fees, books, materials, equipment, communication expenses, and travel, and other costs legitimately related to the training assignment. The only exceptions are costs for training required under a performance improvement plan or funded from program funds as a necessary program expense.
 - (2) When current fiscal year appropriations are used to fund training expenses in the next fiscal year to ensure efficient scheduling of training and work activities, the funding must be in accordance with budget and procurement policies and procedures.
 - (3) To meet normally accepted, pre-completion payment conditions for academic and commercial training activities, training obligation documents must be marked “Advanced Payment Authorized” to permit payment prior to completion of the training period.
 - (4) Employees on training assignments involving travel over 30 days duration must receive authorization and reimbursement for either (at the discretion of the funding element and in accordance with Federal Travel Regulations, DOE travel policy, and DOE element policies and procedures) training-related temporary duty station travel or all or a pre-defined limit of training-related change-of-duty-station travel based on a comparison of the different costs.
 - (5) Employees must meet all training assignment requirements, including examinations and evaluations, and employees approved for academic courses must register for credit and/or complete all requirements and receive a grade. DOE does not pay for employees to audit a class. Prior to the start of the training, however, heads of elements can establish

alternative completion requirements for a participant(s) based on participant capabilities, the objectives of the training, and local conditions.

- j. Allowable costs. Allowable costs are up to all costs of tuition, fees, books, materials, equipment, salary and benefits, travel and limited change-of-duty station allowances, and other necessary expenses. Salary and benefits are not included as costs for the purpose of determining continued service obligations.
- k. Unallowable costs. Payment of the following expenses must not be approved as training costs:
 - (1) Premium pay for employees while in or as a consequence of training, unless (a) the employee normally receives premium pay, (b) the training must be conducted under conditions or circumstances under which premium pay is required, or (c) the payment of premium pay for an individual participant(s) reduces the overall cost of the training.
 - (2) Fees for licenses, certificates, and other types of recognized occupational qualification tests or examinations. This restriction does not affect the use of examinations that are integral to training, that test participant learning related to the training, that must be accomplished successfully to meet training completion requirements, and that incidentally qualify an individual or group, in whole or in part, for a license or certificate. Costs for an examination preparatory class may also be paid if the class qualifies as training.
 - (3) Costs or fees imposed by an educational institution for the sole purpose of granting a degree or credit toward a degree, unless it is provided to relieve recruitment and retention problems, and the provisions of 5 Code of Federal Regulations (CFR) 410 and Chapter II are met.
 - (4) Membership fees that are not required as a condition of enrolling or participating in training, unless the total cost of the training and the membership fee is equal to or less than the non-member training cost.
 - (5) Conference and meeting costs, unless (a) the announced purpose of the event is educational or instructional, (b) over 50 percent of the time is scheduled for a planned, organized exchange of information between presenters and audience, (c) the content of the event is germane to improving individual and/or organizational performance, and (d) developmental benefits will be derived by the employee's attendance.
 - (6) Food, meals, and/or lodging costs at an employee's official duty station unless the requirements of the training program demand extended training

hours or participation in specific group events, the safety or health of the employee may be jeopardized, or these costs are included in a single fee and cannot be separated from other costs.

- (7) Costs incurred by retroactive approval or ratification of training that requires a continued service obligation.
 - (8) Costs associated with training of persons other than Federal employees, except State and local government officials and employees under the Intergovernmental Personnel Act of 1970, other individuals covered by specific statutory or contract authorities, or other persons whose attendance is on a space available basis and at no material cost to DOE.
- l. Work schedule modifications. To accommodate special training schedules during duty hours, supervisors must approve special work schedules in advance and in accordance with DOE element policies and procedures. For full-time training, the duty hours or work schedule for training is defined as an 8-hour day(s) and a 40-hour week(s) unless other, specific arrangements are made in advance of the beginning date of the training. For part-time training, the hours are defined as only the actual training activity, training class or instructor contact hours and are considered non-duty hours.
- m. Continued service obligations. Continued service obligations are incurred by any individual in any training incident or related incidents totaling over 160 duty hours in length or as required by a head of element (see Chapter III).
- n. Approval of training for heads of elements. Training for a head of element is approved by his or her immediate supervisor.
- o. Approval of training for the Secretary, Deputy Secretary, Under Secretaries, and Presidential appointees. The Office of Personnel Management approves training requests for the Secretary, and the Secretary approves training for the Deputy Secretary, the Under Secretaries, and Presidential appointees. The Office of Management and Administration facilitates these approvals, as required.
- p. Liability for training not approved and authorized in advance. DOE has no liability for any training activities and associated costs that are not properly approved and authorized in advance of the beginning date of the training.
9. TRAINING COMPLETION AND EVALUATION. Training participants must complete the training in accordance with the training assignment requirements, provide an evaluation to the appropriate training official as requested, submit an assessment of the training and its application to the appropriate supervisory official, and meet applicable continued service obligations.

- a. Documentation of satisfactory completion. Upon completion of a training assignment, employees must ensure that a copy of their grade notification and/or other evidence of satisfactory completion is provided to the training approving official.
 - b. Required attendance. Employees must attend at least 80 percent of the scheduled time of a training incident or class session and satisfactorily complete class activities.
 - c. Unsatisfactory completion. Employees who fail to start, withdraw from, or do not complete training assignment requirements (complete activities, attend 80 percent of scheduled time, “C” for junior college and undergraduate courses and “B” for graduate courses or equivalent, such as pass/fail where used) must reimburse the Government for any tuition and/or other training costs incurred, unless completion requirements are waived.
 - d. Waiver of training completion requirements. Supervisors and/or approving and authorizing officials may waive training completion requirements only in accordance with element policies and procedures. Various reasons may be acceptable: new work assignments prevented satisfactory completion, employee personal circumstances, conflict with DOE interests or legal requirements, the amount or nature of the costs to be recovered, benefit to DOE such as under reduction-in-force circumstances, medical or psychological circumstances, or undue hardship or inequity. Waivers must be in writing, and a copy must be provided to the employee and to the responsible training official.
10. EMPLOYEE TRAINING RECORDS. For each incident of training, the following records must be maintained and be accessible to employees and officials with oversight responsibilities: training participant name and identification number, approving and authorizing official(s), objective(s), source, location, cost, duty and non-duty training hours, beginning and end dates, and evaluation/completion documentation. In addition, tax liability and continued service obligation records must be maintained, if applicable.
- a. Training information management system requirements. Employee training records must be maintained in a manner consistent with the requirements of the Corporate Human Resource Information System (see Chapter IV).
 - b. Maintenance of training records. Each DOE element’s training policies and procedures must designate an official(s) responsible for maintaining accurate and complete employee training records.
 - c. Disposition of employee training records. Employee training records must be available to the employee and upon reassignment, transfer, or separation,

employees must be provided a complete copy, or equivalent documentation, of their record of training while employed by DOE.

- d. Record of required repayment of training costs. A memorandum for the record requiring repayment of training costs due to unsuccessful completion of training or a continued service obligation must be maintained in the employee's official personnel file until DOE requirements for repayment of training costs are met. The affected employee shall be provided a copy of the memorandum.
11. TRAINING PROGRAM RECORDS. Documents describing the administration and delivery of DOE-supported training programs must be maintained and available for 5 years or as required by records schedules, law or regulation:
 - a. learning objectives, based upon course goals;
 - b. detailed course outline indicating the content of the course and the instructional design;
 - c. master copies of all instructor and student materials;
 - d. expenses of development, including a copy of or reference to contract documents;
 - e. a summary of participant evaluations of the training program; and
 - f. a summary of training official and other evaluations of the training program.
 12. LEARNING ACHIEVEMENT RECOGNITION. Each DOE element must establish criteria under the awards program before providing non-monetary recognition awards and/or monetary awards from available award funds to recognize the achievement of individual or group self-development and learning goals related to performance of DOE's mission.
 - a. Criteria. The training policies and procedures of each DOE element must contain criteria for recognizing learning achievement and for designating officials to nominate and approve such awards, in accordance with the element's award program.
 - b. Employees of other elements. In accordance with the Departmental award program, heads of DOE elements may recognize the learning achievements of individuals officially working under other DOE elements.
 13. TRAINING PROGRAM EVALUATION. Elements must conduct self-assessments and participate fully in training evaluations.

14. TRAINING STAFF COMPETENCIES. DOE elements must ensure that staff assigned training responsibilities have or can make use of the necessary competencies to plan, design, deliver, assess, administer, and/or manage the acquisition of approved training.

a. Training program-related competencies.

- (1) Organizational, occupational, and individual needs analysis.
- (2) Training needs assessment.
- (3) Training design, development, pilot testing, implementation, and evaluation.
- (4) Development and use of tests and examinations.
- (5) Assessment of instructor, facilitator, and consultant qualifications.
- (6) Use of new technologies to design, develop, implement, and assess training programs.
- (7) Relevant subject matter expertise.

b. Training management-related competencies.

- (1) Program and project management, including planning and resource, training source, procurement, personnel, and customer service management.
- (2) Use of training administration and budget and financial accounting information systems.

CHAPTER II

WORKFORCE DEVELOPMENT PROGRAMS

1. PURPOSE. To meet organizational and/or work performance objectives based on management's determination that the nature or quantity of work or the composition of the workforce requires improvement in workforce competency levels and/or reassignment of individuals to meet current or new requirements. This includes training programs under DOE training centers of excellence, academic degree training, work experience or developmental training assignments at non-Federal sites or organizations, and career transition training, including those programs designed to place DOE employees in positions potentially available in other Federal agencies.
2. TYPES OF WORKFORCE DEVELOPMENT PROGRAMS.
 - a. External. These are programs managed by organizations outside DOE. DOE elements participate under their own policies and procedures within the framework established by the external organization providing the training and development program (for example, Executive Potential or Congressional Fellows Programs).
 - b. Internal. These are programs managed within individual DOE elements or on a multi-element (three or more elements) basis by one or more DOE elements, including those programs under training centers of excellence. Internal workforce development programs require a training agreement which includes an implementation plan.
3. APPROVAL OF TRAINING AGREEMENTS GOVERNING WORKFORCE DEVELOPMENT PROGRAMS.
 - a. Element programs. The head of a DOE element must approve training agreements governing element workforce development programs, i.e., programs where 80 percent or more of the resources, participants and/or positions affected are projected to come from a single DOE element or, by mutual agreement, involve primarily two DOE elements.
 - b. Multi-element programs. The Director, Management, Budget and Evaluation (and/or NNSA designee, if applicable), must approve training agreements involving employees and/or positions in three or more DOE elements, including training centers of excellence, where less than 80 percent of the resources or fewer than 80 percent of the affected employees and/or positions are in one DOE element.

Programs funded and approved as part of the DOE strategic plan and/or budget process may be considered as having the equivalent of a training agreement; however, the Director, Management, Budget and Evaluation (and/or NNSA designee, if applicable) must approve an implementation plan for such DOE multi-element programs.

4. MINIMUM CONTENTS OF TRAINING AGREEMENTS. Training agreements must contain the following:
 - a. current conditions or circumstances requiring changes in workforce competencies and/or deployment;
 - b. purpose, objectives, and expected measurable outcomes of the program;
 - c. parties to the agreement, including training official(s), human resource director(s), program official(s), governing body or board, and their roles and responsibilities; and
 - d. a detailed implementation plan.

5. MINIMUM CONTENTS OF TRAINING AGREEMENT IMPLEMENTATION PLANS. An implementation plan must include the following:
 - a. Federal staffing requirements to manage the training program;
 - b. Projected current year costs and multi-year cost estimates, where applicable;
 - c. Projected source, number, grade levels, series, and experience levels of participants;
 - d. Projected time schedule of major activities, including beginning dates and end dates;
 - e. Human resource management and development authorities to be used in the training program, including use of academic degree training authority, as applicable;
 - f. Pre-announcement information, announcement process, application procedures, and conditions of participation, as appropriate; and
 - g. Procedures to implement training program management responsibilities—
 - (1) Participants must have individual development plans related to program objectives and implementation actions.

- (2) Participants must have performance requirements related to program objectives and implementation actions.
- (3) The program must have criteria for participant and supervisor evaluation of training and performance-related outcomes of training.
- (4) A senior line management official or training official must be designated as responsible for management of the program by the head of each participating DOE element.
- (5) The training and work performance of individuals in the program must be formally assessed at least every 6 months.
- (6) Continued service obligation documentation must be completed by all participants prior to their program beginning date, as applicable.
- (7) The governing authority or body must ensure that the implementation plan is reviewed and revised annually and that the annual summary report is completed.

6. FEDERAL PERSONNEL FLEXIBILITIES AVAILABLE AS AUTHORIZED BY HUMAN RESOURCE DIRECTORS. Human Resource Directors must approve the use of personnel authorities incorporated into workforce development programs, that is—

- a. Academic degree authority.
- b. Shortage category determination.
- c. Pay and grade retention.
- d. Retreat rights to a previous or equivalent position.
- e. Change in competitive level determination as used for reduction-in-force purposes.
- f. A single accelerated promotion.
- g. Credit of training toward experience qualifications and/or promotion.
- h. Waiver of experience qualifications and establishment of trainee, bridge, or other conversion positions to facilitate occupational development.
- i. Recruitment, retention, reassignment, and transfer incentives.

7. MERIT PRINCIPLES. Employee participation in training activities under training agreements must be merit-principle-based.
8. ACADEMIC DEGREE TRAINING. Academic degree training may be provided as a separate workforce development program or as one part of a multiple component program, as follows:
 - a. Covered employees. Federal employees serving under a career or career-conditional appointment or other appointment that allows adequate opportunity for the employee to fulfill any obligation to continue in the service of DOE.
 - b. Objective. Academic degree training can be authorized without regard to the constraints in the training law [5 U.S.C. 4107(a)] if the training is necessary to assist in the recruitment or retention of employees in an occupation(s) in which there is an existing or anticipated shortage(s) of qualified personnel (5 CFR 410.308).
 - c. Shortage occupation course of study. Training must involve a course of study selected mainly for its potential contribution to effective performance in that occupation(s).
 - d. Recruitment and appointment or reassignment. Recruitment methods and types of appointments or reassignments must be based on the specific recruitment or retention problem and therefore will vary from situation to situation. However, the following conditions and options apply to all situations:
 - (1) Any available appointment mechanism may be used, as long as it allows a continued service agreement to be fulfilled.
 - (2) Candidates may be selected from within and/or recruited from outside DOE.
 - (3) Recipients of academic degree training must be qualified for the positions they will occupy while being trained.
 - (4) Academic degree training is allowable when the current position occupied, or a different targeted position, is in the shortage category, and all other criteria are met.
 - e. Priorities. In exercising the academic degree training authority of this chapter, heads of DOE elements and designated responsible officials must—
 - (1) Give priority to relieving shortages in occupations that involve skills critical to the Departmental or organizational mission and

- (2) Give appropriate consideration to any special salary rate, student loan repayment, or other monetary inducement authorized by law already provided, or being provided, which contributes to the alleviation of the staffing problem in the occupation targeted by the training.
 - f. Records. Responsible Human Resource Management and/or Training Offices must have the following records available for review:
 - (1) A list of employees assigned to training under these provisions (retained for 5 years beyond completion of training or degree).
 - (2) A record of any finding that a continuing shortage exists, evidence leading to that finding, and a reassessment of that finding no later than 3 years after the most recent determination (retained for 5 years beyond completion of training or degree, whichever is later).
 - (3) The following information in the official personnel folder of each employee participating in such training:
 - (a) Justification for the shortage determination, described in terms of occupational series, grade or grade range, location, and organizational assignment.
 - (b) The kind of training, a description of the field of study, and the nature of any degree pursued under the training.
 - (c) A written continued service agreement.
 - g. Ineligible employees. Employees occupying, or seeking to qualify for appointment to, Schedule C positions and Presidential appointees, are not eligible for academic degree training.
9. CONTINUITY OF CURRENT PROGRAMS. This chapter is in effect upon issuance. Issue of a new or revised directive, by itself, does not affect currently operational intern, fellowship, retraining, upward mobility, career development, performance standards improvement, senior executive service leadership and candidacy, and other workforce development programs, as applicable.

CHAPTER III

CONTINUED SERVICE OBLIGATIONS

1. ESTABLISHING CONTINUED SERVICE OBLIGATIONS.

- a. DOE minimum requirement. A continued service agreement, a written obligation to work for DOE for a specific time period, must be required for each training activity that exceeds 160 training hours. Heads of DOE elements may require agreements to continue in service for other training incidences or programs, if applied equitably to all participants.
- b. Exemptions. A continued service agreement must not be required for the following:
 - (1) a single work assignment not part of a formal training program, an assignment for which only one of the objectives is to develop or assess employee competency levels;
 - (2) coaching, mentoring, on-the-job, or similar training;
 - (3) correspondence courses completed as part-time training;
 - (4) training provided by manufacturers, suppliers, or contractors for the purpose of equipment or operating systems installation, use, or maintenance; or
 - (5) training performed under a performance improvement plan.
- c. Employee agreement. Prior to approval of covered training, the employee must sign a continued service agreement indicating that he/she has read and understands the provisions of the agreement and this chapter. The original agreement must be maintained as part of the employee's training record; a copy of the agreement must be provided to the employee. Refusal to sign an agreement makes the training costs involved unallowable costs.

2. PERIOD OF OBLIGATED SERVICE.

- a. Standard obligation. The standard continued service agreement obligates the employee to remain with DOE for the length of the instance of training plus a post-training period equal to three times the length of the training. The length of the training period equals the sum of full-time training days (at 8 hours per day) plus the part-time training hours. Training may be a single training activity or

incident or a group of concurrent or sequential activities with a common purpose and/or obtained from the same source over a defined time period. A single incident or a defined group of activities, such as those under a specific training program, require a single continued service agreement.

- b. Adjustment for non-pay status. When DOE pays some or all of the additional expenses of training, but the employee receives no salary for the training period, the period of obligation is reduced to a period equal to the length of the training period beginning upon the date the employee reports to work after the training.
- c. Responsibility for service completion record. Where elements impose a special continued service agreement and no or minimal tuition, fee, or travel costs are incurred (and therefore no or minimal costs can be recovered if the continued service agreement is not kept), if the continued service obligation is not met, a memorandum still must be placed in the employee's official personnel file documenting the agreement and the employee's actions, unless the obligation is waived.

3. CALCULATION OF CONTINUED SERVICE OBLIGATION MONETARY VALUE UPON SEPARATION.

- a. Calculation. The following calculation determines if money is owed to the Federal Government when an employee under a continued service obligation leaves DOE:
 - (1) Sum the work and paid leave days in training and multiply by eight to obtain the training hours in full-time training. Sum the part-time training contact hours (as defined at I.d.1.) to obtain part-time training hours. Add full-time and part-time hours to determine total hours in training and divide by eight to determine total workdays in training.
 - (2) Sum the cost of the training, including training-related travel cost, but not salary paid during the training period, to determine the total monetary value of the continued service obligation.
 - (3) Divide the total monetary value by three times the workdays in training to determine the dollar value of each 8-hour day worked or on paid leave (i.e., daily payback value) after the trainee has returned to work at the end of the training period.
 - (4) Multiply each work and leave day after returning to work at the end of the training period by the daily payback value in paragraph 3a(3) and subtract that amount from the total monetary value determined in paragraph 3a(2). When training extends over several months and the trainee returns to work

between formal training activities, DOE elements have the option of crediting those days worked toward the continued service obligation or ignoring them and starting the payback period on the first day of return to work after completion of the training period.

- b. Completion of obligation. The obligation is completed when the result of the calculation in paragraph 3a above is \$0 or less (i.e., the daily payback value times the total work and paid leave days credited equals or is greater than the cost of the training assignment).

4. ADMINISTERING CONTINUED SERVICE AGREEMENTS.

- a. Involuntary separations. A continued service agreement will be canceled and right of recovery waived if the employee is separated involuntarily for reasons beyond his/her control and not because of misconduct or personal delinquency during the training or the post-training, obligated-service period. For purposes of the continued service agreement, when an employee resigns under circumstances that show clearly that the resignation is an election to resign rather than to undergo separation procedures and there is a record of a reduction-in-force announcement or notice, the resignation can be considered an involuntary separation, provided the reason for the separation is not misconduct or personal delinquency.
- b. Orders to military service. Military orders to report for service (other than training duty) can be sufficient reason for waiving the continued service agreement during the period of training or obligated post-training service. The trainee is responsible for submitting proof (a copy of the employee's orders with reporting endorsements).
- c. Transfer to an international organization. Separation from DOE for the purpose of accepting employment with an international organization, of which the United States is a member, can be considered grounds for waiving the right to recover if such employment is deemed to be in the interest of DOE and the public.
- d. Transfer to another Federal agency. When DOE receives a request for transfer from an employee subject to a continued service agreement, it must notify the gaining agency that the employee is still subject to a continued service agreement. If DOE determines that the training received will be used in the new position, the agreement is transferred to the gaining agency, and the gaining agency must then ensure the agreement is fulfilled. If DOE determines that the training received will not be used in the new position, it must notify the employee in writing, before the effective date of the transfer, that it intends to recover the remaining costs.
- e. Liability in voluntary separation. When an employee voluntarily leaves Federal service during a period of obligated post-training service, the employee immediately becomes liable to the Government for repayment of the additional

expenses, unless otherwise stated in this Manual or the associated Order, DOE O 360.1B.

- f. Method of collection. Training expenses will be collected from an employee who voluntarily leaves DOE before fulfilling his/her continued service agreement by withholding the actual amount of additional expenses from any monies due the employee and/or by other collection methods provided by statute or regulations. The appropriate finance office must collect the amount due.
- g. Request for waiver. Each DOE element's training policies and procedures must contain waiver procedures that ensure that an employee with obligated service who leaves DOE is—
- (1) notified by the employee's supervisor of the amount DOE intends to recover;
 - (2) advised by the employee's supervisor of his/her right to request reconsideration of the amount to be recovered or to pursue a waiver of the Government's right to recover;
 - (3) advised of how to submit the employee's requests in writing before the effective date of separation from DOE when the employee provides at least 2 weeks notice;
 - (4) advised to state the grounds on which the employee believes the determination to reconsider, or waive recovery rights, should be based; and
 - (5) given the opportunity to respond to the DOE element's findings, before DOE may recover training expenses.
- h. Record of unmet obligation. If any continued service agreement is violated and a waiver is not granted, a statement to that effect must be placed and retained in the employee's official personnel folder until funds owed to the Government are recovered. The statement must confirm that an unfulfilled agreement exists, specify the amount of the unexpired term of the agreement, and note the amount of money due the Government. After the employee separates from the Federal Government or transfers to another agency, if the obligation is not transferred or waived, the Chief Financial Officer is responsible for negotiating and recovering any amount due.

CHAPTER IV

Reserved for

**CORPORATE HUMAN RESOURCE INFORMATION SYSTEM
TRAINING ADMINISTRATION**

CHAPTER V

TECHNICAL QUALIFICATION PROGRAM

1. PURPOSE. To establish a qualification process to be used by covered Federal employees at certain DOE facilities.
2. APPLICABILITY.
 - a. Technical Qualification Programs specifically apply to DOE technical employees whose duties and responsibilities require them to provide assistance, guidance, direction, or oversight that could affect the safe operation of a defense nuclear facility, including evaluation of contractor activities at those facilities. This includes personnel designated as Senior Technical Safety Managers and employees who are on extended detail or temporary assignment (i.e., 90 days or longer).
 - b. Technical Qualification Programs may be established for other DOE employees with safety, health, and environmental responsibilities for other science and technology intensive facilities and programs to ensure that they have the required competencies to perform their duties effectively.
3. OBJECTIVES.
 - a. To identify and document the functional competencies that individual employees must possess to ensure that DOE's defense nuclear facilities and programs are operated in accordance with applicable safety, health, and environmental requirements.
 - b. To clearly identify and document the process used by senior line management to demonstrate employee technical competence.
 - c. To ensure that employees maintain their technical competence.
4. FEDERAL TECHNICAL CAPABILITY PANEL. The Federal Technical Capability Panel is a group of senior line managers assigned by the Deputy Secretary to oversee the Federal Technical Capability Program and provide recommendations regarding the technical competence of DOE employees. The Panel is responsible for the following functions:
 - a. Approving Technical Qualification Program components or elements that have DOE-wide implications. This includes the establishment of any DOE-wide Technical Qualification Standards (e.g., Senior Technical Safety Managers).
 - b. Concurring with the designation of Senior Technical Safety Manager positions.

- c. Reviewing Technical Qualification Program Plans to ensure that each office's plan is consistent with the objectives and requirements of the Federal Technical Capability Program.
- d. Periodically reviewing and assessing the effectiveness of the Technical Qualification Program.

5. TECHNICAL QUALIFICATION PROGRAM COMPONENTS.

- a. Plans and procedures. Each DOE element required to establish a Technical Qualification Program must develop and implement a Technical Qualification Program Plan as a separate component of its training plan. Technical Qualification Program Plans must be approved by the head of the element and include the process and requirements for the following:
 - (1) identifying personnel and positions required to participate in the Technical Qualification Program;
 - (2) identifying and maintaining technical qualification standards or individual qualification requirements, as appropriate;
 - (3) evaluating employees against qualification standards and documenting the approval of equivalencies for DOE-wide competencies;
 - (4) establishing and updating individual development plans, training plans, qualification cards, or related records to document learning activities;
 - (5) implementing continuing training and requalification programs; and
 - (6) applying evaluation requirements for completing the technical qualification standard (e.g., written or oral examinations).
- b. Qualification Requirements for the Technical Qualification Program.
 - (1) Qualification requirements must be documented by each DOE element in qualification standards or other appropriate means. These requirements must be established using the systematic approach to training methodology and include the necessary basic technical knowledge; technical discipline competency requirements; and position-specific knowledge, skills, and abilities.
 - (2) Documentation of qualification requirements must contain the following:
 - (a) general duties and responsibilities associated with the position;
 - (b) background and experience in terms of preferred education and experience;

- (c) a list of the technical competencies that define the level of expected performance, with supporting knowledge and/or skill statements provided as guidance to describe the intent of the competency statements; and
- (d) continuing training and proficiency requirements.

6. TECHNICAL QUALIFICATION PROGRAM IMPLEMENTATION.

- a. Headquarters and field element managers designate the positions in their respective organizations required to participate in the Technical Qualification Program and the applicable qualification standard(s).
- b. A senior training official or a senior line management official(s) is designated as responsible for the Technical Qualification Program.
- c. Employees in a Technical Qualification Program satisfy the competencies contained in the applicable qualification standards assigned to them.
- d. Equivalencies may be granted to personnel based upon objective evidence of previous education, training, certification, or experience.
- e. Personnel who have completed applicable qualification requirements must maintain their proficiency and continue their professional development through participation in additional, relevant, training, education, and developmental activities on an ongoing basis.
- f. Personnel are given Technical Qualification Program completion dates commensurate with the complexity of the qualification process, normally within 18 months.
- g. Qualified officials verify and document completion of competencies.

7. HUMAN RESOURCE MANAGEMENT REQUIREMENTS.

- a. Position descriptions must reflect qualification requirements of the Technical Qualification Program, where appropriate.
- b. Performance standards must be consistent with requirements set by the Technical Qualification Program.
- c. Workforce deployment, including reorganizations, must recognize the critical technical capabilities of covered positions and ensure that the safety, health, and

environmental management technical competency requirements of the workforce are maintained.

- d. Qualification requirements of the Technical Qualification Program must be incorporated into selection criteria for covered positions.

8. TECHNICAL QUALIFICATION PROGRAM EVALUATIONS.

- a. Headquarters and field elements must conduct periodic self-assessments of the implementation of the Technical Qualification Program. These assessments must be conducted and documented in accordance with the Technical Qualification Program Assessment Guidance and Criteria.
- b. The results of Technical Qualification Program assessments must be submitted to the Federal Technical Capability Panel for review.