

U.S. DEPARTMENT OF ENERGY
Washington D.C.

ORDER

DOE O 360.1

5-31-95

SUBJECT: TRAINING

1. OBJECTIVES.

- a. Assign responsibilities and provide requirements for establishing, implementing, documenting and evaluating training programs for Federal employees.
- b. Commit to the continuing development of employees to ensure quality performance from a technically competent, versatile, and diverse work force.
- c. Establish the requirements for the training and qualification of technical employees and managers whose position requires them to provide management direction or oversight that could impact the safe operation of a defense nuclear facility.

2. CANCELLATION. DOE 3410.1B, TRAINING, of 2-29-88.

3. APPLICABILITY.

- a. Applicability. This Order is applicable to Department of Energy Federal employees. Clarification of the applicability of the specific requirements is included within the chapters.
- b. Exemptions. If applicable, specific exemptions can be found in each of the Order's chapters.
- c. Director, Naval Nuclear Propulsion Program will, in accordance with the responsibilities and authorities assigned by Executive Order 12344, statutorily prescribed by 42 United States Code 7158, note, and to ensure consistency throughout the joint Navy/Department of Energy organization of Naval Nuclear Propulsion Program, implement and oversee all policy and practices pertaining to this Department of Energy Order for activities under the Director's cognizance.

4. REQUIREMENTS.

- a. Specific requirements are contained within the chapters of this Order as follows:
 - (1) Chapter I - Requirements for the Administration of Training
 - (2) Chapter II - Requirements for the Technical Qualification Program
 - (3) Chapter III - Requirements for the Conduct of Technical Training
 - (4) Chapter IV - Requirements for Academic Degree Training
 - (5) Chapter V - Requirements for Retraining

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INITIATED BY:
Office of Professional and Technical
Training and Development

- b. The following documents shall be followed for the implementation of this Order:
- (1) 5 United States Code 4103 et. seq., which grants the authority to operate training programs.
 - (2) 5 Code of Federal Regulations, Part 410 et. seq., which contains the Office of Personnel Management regulations on the conduct of training programs.
 - (3) Executive Order 11348, which provides training goals and practices.
 - (4) Executive Order 11478, which outlines provisions on equal opportunity in training programs.

5. RESPONSIBILITIES.

- a. Assistant Secretary for Human Resources and Administration shall:
- (1) Establish Department of Energy training policy and provide resources to ensure the establishment and management of Department-wide training and human resource development programs.
 - (2) Appoint a Technical Personnel Program Coordinator to facilitate technical training, qualification, and educational programs for Federal and contract employees.
- b. Cognizant Secretarial Officers and Heads of Field Elements shall:
- (1) Ensure that individual development plans, annual training plans, and out-year training plans are developed and implemented.
 - (2) Provide sufficient resources for training programs to ensure the development of a technically competent, diverse work force.
 - (3) Provide content expertise support to ensure the adequacy and accuracy of training that relates to assigned area of responsibility.
 - (4) Implement training and qualification programs for personnel who provide management direction or oversight of contractor technical activities that could impact the safe operation of a defense nuclear facility, as indicated in Chapters II and III of this Order.
 - (5) Implement performance appraisal requirements that reflect supervisory and employee accountability for training and qualification.
 - (6) Consistent with the criteria in Chapter I, determine whether to waive, in whole or in part, any right to recover non- salary training expenses under a continued service agreement.
 - (7) Serve as the management sponsor for applicable functional area qualification standards as indicated in Chapter II.

- (8) Ensure that self-assessments of the effectiveness of training programs are conducted every 3 years.
- c. Deputy Assistant Secretary for Human Resources shall provide guidance and assistance to the Cognizant Secretarial Officers and Heads of Field Organizations in the application of merit promotion principles and practices in the selection of employees for training and development programs, and the use of other career enhancement initiatives such as upward mobility.
- d. Director of Training and Human Resource Development shall:
- (1) Develop and issue Department standards, procedures and guidelines that relate to employee training, development and qualification activities.
 - (2) Coordinate the development, implementation and maintenance of the Department's training and development strategic plan.
 - (3) Coordinate the development and revision of training and qualification programs for personnel who provide management direction or oversight of contractor technical activities that could impact the safe operation of a defense nuclear facility, as indicated in chapters II and III of this Order.
 - (4) Promote partnerships to achieve training and development goals through collaborative efforts, joint financial management, and jointly sponsored training activities.
 - (5) Promote the effective sharing and use of Department facilities, new learning technologies, and training programs.
 - (6) Serve as the Department's liaison with other government agencies. When necessary, complete agreements with other government agencies for the use of training programs and facilities.
- e. Training Managers appointed by Cognizant Secretarial Officers and Heads of Field Elements, as either a full time or part time assignment, shall:
- (1) Promote and facilitate the use of a systems approach for qualification and training activities.
 - (2) Coordinate the development and administration of the annual training plans, out-year training plans and training budgets.
 - (3) Coordinate the implementation of training and qualification programs for personnel who provide management direction or oversight of contractor technical activities that could impact the safe operation of a defense nuclear facility, as indicated in chapters II and III of this Order.
 - (4) Provide assistance to employees and supervisors to facilitate the development, review and implementation of individual development plans.

(5) Coordinate and develop local training policies and procedures, as applicable.

f. Managers/Supervisors shall:

- (1) Work with each staff member to achieve mutual understanding of job competencies, job training, and career development opportunities and requirements.
- (2) Document training and development activities in the individual development plan.
- (3) Ensure that employees entering a new position have a new or revised individual development plan within 60 days, and that individual development plans for all employees are reviewed and updated annually.
- (4) Ensure implementation of individual development plan activities, approve individual training requests, establish pre-training expectations, and discuss with trainees how training will be applied to their job.
- (5) Ensure that on-the-job orientation and training is provided to employees new to the organization.
- (6) Monitor and assess employee progress toward completion of assigned qualification activities, as applicable.

g. Employees shall:

- (1) Work with their immediate supervisors to identify training and development activities that foster immediate and long-range performance objectives, and coordinate with supervisors to document those activities in the individual development plan.
- (2) Successfully complete assigned training, development, education, and qualification activities and comply with continued service agreements.
- (3) Provide objective feedback to supervisors and training personnel on the effectiveness and relevance of training. Provide training documentation to Training/Personnel Office to maintain training and qualification records current.

6. **ASSISTANCE.** Questions concerning this Order may be referred to the Director, Office of Training and Human Resources Development, HR-2, Thomas W. Evans, (202) 275-1717.

BY ORDER OF THE SECRETARY OF ENERGY:



ARCHER L. DURHAM
Assistant Secretary for
Human Resources and Administration

TABLE OF CONTENTS

	Page
CHAPTER I - ADMINISTRATION OF TRAINING	
1. TRAINING PROGRAM COMPONENTS.....	I-1
a. Planning.....	I-1
b. Implementation.....	I-2
c. Evaluation.....	I-2
2. TRAINING LOGISTICS.....	I-3
a. Selection of Trainees.....	I-3
b. Source of Training.....	I-3
3. FINANCIAL.....	I-3
a. Training Budget.....	I-3
b. Payment of Training Expenses.....	I-3
4. TRAINING REQUESTS AND APPROVAL.....	I-4
5. COURSE COMPLETION REQUIREMENTS.....	I-5
6. AGREEMENTS TO CONTINUE IN SERVICE AFTER TRAINING.....	I-5
a. Establishing Continued Service Agreements.....	I-5
b. Period of Obligated Service.....	I-6
c. Administering Continued Service Agreements.....	I-6
7. TRAINING RECORDS AND INFORMATION MANAGEMENT.....	I-8
a. Individual Records.....	I-8
b. Program Records.....	I-8
8. REPORTS.....	I-9
CHAPTER II - TECHNICAL QUALIFICATION PROGRAM	
1. APPLICABILITY.....	II-1
2. DEVELOPMENT, APPROVAL, AND REVISION OF TECHNICAL QUALIFICATION STANDARDS.....	II-1
a. Development of the Qualification Standards.....	II-1
b. The Technical Excellence Executive Committee.....	II-1
c. Subject Matter Experts From Headquarters and Field Elements Affected by the Technical Qualification Program.....	II-1
d. The Technical Qualification Program.....	II-1
e. Qualification Standards.....	II-3
3. IMPLEMENTATION OF THE QUALIFICATION PROGRAM.....	II-3
a. Headquarters and Field Element Managers.....	II-3
b. Employees in the Technical Qualification Program.....	II-3
c. Exemptions.....	II-3
d. Equivalencies.....	II-4
e. Individual Development Plans, Training Plans, Technical Qualification Records, or Related Documents.....	II-4
f. Headquarters and Field Elements Affected by the Technical Qualification Program.....	II-4
g. Personnel Who Complete Applicable Qualification Requirements.....	II-5
4. PROGRAMMATIC EVALUATIONS.....	II-5
a. Headquarters and Field Element Offices.....	II-5
b. Assistant Secretary for Environment, Safety, and Health.....	II-5
5. RECIPROCITY.....	II-5
a. Personnel Transferred or Promoted to a New Assignment Within Their Functional Area.....	II-5

b.	Personnel Transferred or Promoted to a New Assignment in a Different Functional Area.....	II-5
6.	RELATIONSHIP TO OTHER PERSONNEL ACTIVITIES.....	II-6
a.	New Hires, Transfers, or Promotions of Personnel.....	II-6
b.	Position Descriptions.....	II-6
c.	Crediting Plans and/or Rating and Ranking Factors.....	II-6
7.	RECORDS.....	II-6
	Attachment II - Technical Qualification Program Competency Exemption Form.....	II-7

CHAPTER III - CONDUCT OF TECHNICAL TRAINING

1.	APPLICABILITY.....	III-1
2.	DESIGN AND DEVELOPMENT OF TRAINING COURSES.....	III-1
a.	Department-Wide Technical Training Courses.....	III-1
b.	Office/Facility-Specific Technical Training Courses.....	III-1
c.	Department-Wide Technical Training Courses.....	III-1
d.	The Office of Training and Human Resources Development	III-1
e.	Documentation.....	III-2
f.	Development or Revision.....	III-2
3.	IMPLEMENTATION OF TRAINING.....	III-3
a.	Technical Instructor Qualification.....	III-3
b.	Testing and Evaluation.....	III-3
4.	TRAINING COURSE AND PROGRAM EVALUATION.....	III-4
a.	Training Course Evaluation.....	III-4
b.	Program Self-Assessments.....	III-4
c.	Program Oversight.....	III-4
5.	TRAINING RECORDS.....	III-4
a.	The Training Officer (or Equivalent) Within Each Headquarters and Field Office.....	III-4
b.	Training Providers.....	III-5

CHAPTER IV - ACADEMIC DEGREE TRAINING

1.	APPLICABILITY.....	IV-1
2.	AUTHORIZATION OF ACADEMIC DEGREE TRAINING.....	IV-1
3.	IDENTIFICATION OF CANDIDATES.....	IV-1
4.	AUTHORITY TO TRAIN EMPLOYEES.....	IV-2
5.	DOCUMENTATION AND REPORTING REQUIREMENTS.....	IV-2

CHAPTER V - RETRAINING

1.	APPLICABILITY.....	V-1
2.	EMPLOYEE PARTICIPATION.....	V-1
3.	CONSISTENCY WITH DEPARTMENT OF ENERGY HUMAN RESOURCE MANAGEMENT POLICIES.....	V-1
4.	TYPES OF RETRAINING.....	V-1
a.	Position Retraining.....	V-1
b.	Occupational Retraining.....	V-2

CHAPTER I

ADMINISTRATION OF TRAINING

1. TRAINING PROGRAM COMPONENTS.

a. Planning. The Department's strategic plan includes a description of the goals and strategies for developing and maintaining a competent work force. The implementation of such strategies requires a planning process based on the following:

(1) Individual Development Plans.

(a) Individual development plans are required within 60 days of an employee joining the Department or transferring to a new position, and shall be reviewed and updated annually.

(b) Individual development plans are not required for temporary employees and others from whom, by the nature of their position, training and development would result in minimal benefit to the Department.

(c) Supervisors and managers shall initiate and implement individual development plans through discussions with individual employees regarding job requirements and the competencies required to successfully meet these requirements.

(d) The individual development plan shall provide a mechanism to establish the employee's training, development, and qualification needs based on the:

1 Department and organization goals, objectives, and mission.

2 Technical qualification standards for the position (if applicable).

3 Employee's personal and professional development goals.

(2) Annual Training Plan.

(a) Departmental Elements shall develop and maintain annual training plans. This plan is the management document for training and development activities for the current fiscal year, and shall be approved by the Head of the Departmental Element.

(b) Annual Training Plans shall:

1 be based in part upon the information contained in employee individual development plans, technical qualification documents, or other training plans.

- 2 define objectives and set priorities for the organization's training program, identify the estimated number of employees to be trained, types and sources of training, resource requirements, and evaluation processes.
- (c) The Office of Training and Human Resources Development shall establish guidelines for the format and content of the plan.
 - (d) Organizations shall submit information from the approved annual training plans to the Office of Training and Human Resources Development as requested.
- (3) Out-Year Training Plan. A plan covering at least two additional years shall be included with the annual training plan and integrated with multi-year budget projections to provide a best estimate of training requirements and resources. The out-year training plan does not require the same level of detail as the annual training plan.
- b. Implementation. The major elements of employee training include orientation, general training, performance development and career development.
- (1) Orientation. Training that all employees receive upon entry into the Department, or into a new position in a different Departmental Element.
 - (2) General Training. Training that applies to employees within the Department of Energy or an organizational unit of the Department. This may include areas such as equal employment opportunity, ethics, and general employee training for nuclear facilities. Departmental management establishes general training requirements.
 - (3) Performance Development. Training that supports the acquisition or improvement of work-related competencies and skills. These may be legally or position required and include administrative, technical, and managerial skills.
 - (4) Career Development. Training and development activities that support career growth and help to achieve an optimal match of individual and Departmental needs.
- c. Evaluation. Departmental Elements shall perform self-assessments of training and development programs to determine how well they meet short and long range needs. These assessments shall be conducted every 3 years in accordance with local policy and procedures. Self-assessments shall address the following:
- (1) The extent to which training programs are achieving the objectives stated in the annual training plans and other organizational plans and strategies.

- (2) The effectiveness of training in providing employees with skills and knowledge that can be used in the work place.
- (3) The effective and economic use of training resources.

2. TRAINING LOGISTICS.

a. Selection of Trainees.

- (1) Merit promotion procedures shall be used when the training:
 - (a) is part of an authorized training agreement;
 - (b) is part of a program that includes promotions or reassignments to another occupational job series, when competition has not occurred at an earlier stage; or,
 - (c) is required before an employee may be considered for a promotion.
- (2) The Secretary shall approve training for Presidential appointees, and the Office of Personnel Management shall approve training for the Secretary.

b. Source of Training.

- (1) Individuals or organizations with a possible conflict of interest that would be detrimental to the training activities shall not be selected as a source of training.
- (2) The Secretary shall concur in the selection of a training source involving the White House, the Office of Management and Budget, or the Congress.
- (3) The Assistant Secretary for Policy shall approve any training involving foreign travel.

3. FINANCIAL.

a. Training Budget. Departmental Elements shall develop an annual training budget based on projected activities and cost estimates as reflected in the annual training plan.

b. Payment of Training Expenses.

- (1) In determining whether to pay training expenses, priority shall be given to the objectives established in the annual training plan as follows:
 - (a) Training that is required by law or regulation;
 - (b) Performance development training; and
 - (c) Career management and development training.

- (2) Payment of the following expenses shall not be authorized as part of the cost associated with training:
- (a) Premium pay for employees while in training; unless the employee normally receives premium pay or the payment of premium pay reduces the overall cost of the training.
 - (b) Fees required for an employee to take professional certification or license examinations. Fees for an examination preparatory course may be paid if the course is provided as training.
 - (c) Costs or fees imposed by an educational institution for the sole purpose of granting a degree; unless it is provided to relieve recruitment and retention problems, and all of the provisions of 5 Code of Federal Regulations 410 and Chapter IV of this Order are met.
 - (d) Membership fees that are not a condition of enrolling, or participating, in training.
 - (e) Retroactive approval of any training expense that requires a continuous service obligation.
- (3) Employees on training assignments shall be reimbursed for travel in accordance with Federal travel regulations and Department policy.

4. TRAINING REQUESTS AND APPROVAL.

- a. Requests to attend Department-sponsored training programs of 8 or more hours duration shall be formally approved and authorized based on a review of the necessity of the training, availability of funds, and current internal and external requirements. Departmental Elements shall establish approval and authorization policies and/or procedures.
- b. Data from the request shall be entered into the training information system and DOE Form 3410.4 generated in accordance with local requirements.
- c. Employees approved for academic courses shall be required to register for credit if it is given. The Department shall not pay for employees to enroll in a course on an audit basis when credit is given for the course.
- d. Employees shall be advised of the action taken on their training requests prior to course registration dates. Employees enrolling in, or registering for, courses without the prior authorization of the authorizing official may be personally obligated for tuition and other course costs.

5. COURSE COMPLETION REQUIREMENTS.

- a. Employees shall, upon completion of training courses provided at Government expense, forward a copy of their grade notification and/or other evidence of satisfactory course completion, to the servicing training or personnel office for entry in their official training record or personnel folder.
- b. Employees shall attend at least 80 percent of the program or course sessions and satisfactorily complete course activities, in courses where grades or other scores indicating successful completion of the courses are not given.
- c. If an employee requests permission to withdraw from a program or course, or if the supervisor finds it necessary to request the employee to withdraw, a memorandum from the employee's immediate supervisor describing the circumstances of the withdrawal shall be submitted to the servicing training or personnel office. Except in a case where the supervisor has requested the employee withdraw for reasons benefiting the organization rather than the employee, a determination shall be made by the authorizing official that repayment of any direct costs incurred is required by the employee. The employee shall be notified of the decision of the authorizing official.
- d. Employees who do not successfully complete undergraduate or graduate courses (i.e., grade of "C" for undergraduate courses and "B" for graduate courses) shall be required to pay the government for any tuition and/or related course costs incurred. Exceptions may be considered by the authorizing official upon receipt of written justification from the employee and their supervisor.

6. AGREEMENTS TO CONTINUE IN SERVICE AFTER TRAINING.

- a. Establishing Continued Service Agreements.
 - (1) A continued service agreement shall be required for each training activity which exceeds 160 hours. However, Cognizant Secretarial Officers and Heads of Field Elements may require agreements to continue in service for other training instances or programs, if applied equitably to all individual participants.
 - (2) A continued service agreement shall not be required for the following:
 - (a) work assignments for which one of the objectives is to develop or assess employee competency levels;
 - (b) coaching, mentoring, on-the-job, or similar training;
 - (c) correspondence courses completed as part-time training;

- (d) training provided by manufacturers, suppliers, or contractors for the purpose of equipment or operating systems installation, use or maintenance; and
 - (e) training performed under a performance improvement plan.
- (3) Prior to registering for training, the employee shall sign the continued service agreement on the reverse side of the first page of DOE Form 3410.4, or the equivalent, indicating that they have read and understand the provisions of the agreement. The original agreement shall be filed in the Official Personnel File and a copy of the agreement shall be provided to the employee.

b. Period of Obligated Service.

- (1) The continued service agreement obligates the employee to remain with the Department 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 plus the part time training hours. An instance of training may be a single training activity or, a group of concurrent activities with a common purpose, and/or obtained from the same source over a defined time period. Each instance of training requires a separate continued service agreement.
- (2) When the Department pays some, or all, of the additional expenses of training, but the employee receives no salary for the training period, the period of obligation may be reduced to a period equal to the length of the training period.

c. Administering Continued Service Agreements.

- (1) Involuntary Separations. The agreement shall be canceled and right of recovery waived when the employee is separated involuntarily for reasons beyond his or her control, and not because of misconduct or personal delinquency during the training or the post-training obligated service period. For purposes of the agreement, when an employee resigns under circumstances that show clearly that the resignation is an election to resign rather than to undergo other separation procedures, (and there is a record of a preliminary personnel action on file, e.g., reduction-in-force notice), the resignation shall be considered an involuntary separation, provided that the reason for the separation is not misconduct or personal delinquency, as indicated above.
- (2) Orders to Military Service. Orders to report for military service (other than training duty) shall be sufficient reason for waiving the training agreement during the period of training, or obligated post-training service. The trainee is responsible for submitting proof (a copy of his or her orders with reporting endorsements) if he or she

wishes to secure a waiver of the post-training service obligation.

- (3) Transfer to an International Organization. Separation from the Department for the purpose of accepting employment with an international organization, of which the United States is a member, should be considered grounds for waiving the right to recover, if such employment is deemed to be in the interest of the Department and the public.
- (4) Transfer to Another Federal Agency. When the Department receives a request for transfer from an employee subject to a continued service agreement, it shall notify the gaining agency that the employee is still subject to a continued service agreement. If the Department determines that the training received will be utilized in the new position, the agreement is transferred to the gaining agency, and the gaining agency shall then assure that the agreement is fulfilled. If the Department determines that the training received will not be utilized in the new position, it shall notify the employee in writing, before the effective date of the transfer, that it intends to recover the additional expenses.
- (5) Liability in Voluntary Separation. When an employee voluntarily leaves Federal service during a period of obligated post-training service, he or she immediately becomes liable to the Government for repayment of the additional expenses, unless otherwise stated in this Order.
- (6) Method of Collection. Collection shall be made by withholding the actual amount of additional expenses from any monies due the employee from the Department, or by other procedures consistent with collection methods provided by statute or regulations. The appropriate finance office shall collect the amount due.
- (7) Amount of Additional Expenses to Repay. The Government's right of recovery will be enforced for a percentage of additional expenses proportionate to the percentage of the training agreement not completed, unless there is a waiver action.
- (8) Request for Waiver. Employees with obligated service who leave the Department shall be:
 - (a) notified if the Department intends to seek recovery instead of transferring the obligation,
 - (b) advised by their supervisor of their right to request reconsideration of the amount to be recovered, or pursue a waiver of the Government's right to recover,
 - (c) advised to submit their requests in writing to the appropriate approving official through the servicing

personnel office, before the effective date of separation from the Department,

- (d) advised to state the grounds on which they believe the determination to reconsider, or waive recovery rights, should be based, and
 - (e) have the opportunity to respond to the Department's findings before the Department may recover training expenses.
- (9) If any continued service agreement is violated and a waiver is not granted, a statement to that effect shall be placed and retained in the employee's Official Personnel Folder until funds are recovered. This statement shall 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.

7. **TRAINING RECORDS AND INFORMATION MANAGEMENT.** A training information management system shall be used to maintain individual and program records, and produce reports. Training managers or their representatives are responsible for accurate and complete data entries, training status updates and the review of records to ensure validity. The training information management system shall provide for:

- a. Individual Records. Individual training records shall be reviewed by employees annually. All training records shall be merged with the Official Personnel Folder when an employee leaves the agency. For each training instance of 8 hours or more, or for mandatory training, the record shall include:
 - (1) Title and training objectives of the course;
 - (2) Source of the training;
 - (3) Length of course with start/end dates;
 - (4) Whether the employee satisfactorily completed training and an employee/supervisory evaluation (sections H and I of DOE Form 3410.4, or a substitute form);
 - (5) Expenses related to employee involvement in training, exclusive of employee salary cost;
 - (6) The period of time (if any) the employee is obligated to continue in service.
- b. Program Records. When the Department pays for the development of a training course, the following documentation shall be required and maintained by the Departmental Element responsible for the training:
 - (1) Learning objectives, based upon course goals;

- (2) A detailed course outline indicating the content of the course and the instructional design;
 - (3) Master copies of all instructor and student materials; and
 - (4) Expenses of development.
- 8. REPORTS.** Reports on training and development activities shall be provided upon the request of the Director of Training and Human Resources Development.

CANCELED

CHAPTER II

TECHNICAL QUALIFICATION PROGRAM

1. APPLICABILITY.

- a. The Technical Qualification Program is the process used to objectively determine that individuals performing activities related to the technical management, oversight or operation of defense nuclear facilities possess the necessary knowledge, skills and abilities to perform their specific duties and responsibilities.
- b. The Technical Qualification Program applies to Department of Energy Federal technical employees in 800 and 1300 occupational series, and others, whose position requires them to provide management direction or oversight that could impact the safe operation of a defense nuclear facility.

2. DEVELOPMENT, APPROVAL AND REVISION OF TECHNICAL QUALIFICATION STANDARDS.

- a. Development of the Qualification Standards shall be based upon functional areas of responsibility within the Department, with input from affected Headquarters and Field Elements.
- b. The Technical Excellence Executive Committee shall consist of heads of Departmental Elements from Headquarters and the Field. This Committee shall:
 - (1) approve all elements of the Technical Qualification Program that have cross-cutting, Department-wide implication;
 - (2) designate a management sponsor for each of the functional area qualification standards;
 - (a) The management sponsor shall be a senior manager from a Departmental Element, such as: Defense Programs or Environmental Management.
 - (b) The management sponsor shall concur with the technical adequacy and accuracy of the qualification standard.
- c. Subject Matter Experts From Headquarters and Field Elements Affected by the Technical Qualification Program shall participate in the development, revision, and/or review of the qualification standards applicable to their organization.
- d. The Technical Qualification Program shall be established in a building block fashion as described below.
 - (1) The general technical base qualification standard shall be based upon core technical competencies for technical personnel in all of the functional areas, and shall include knowledge and skills that are based upon applicable industry practices and management discretion.

- (a) The Office of Training and Human Resources Development shall coordinate the development, maintenance and distribution of the general technical base qualification standard.
 - (b) The Technical Excellence Executive Committee shall approve the general technical base qualification standard for Department-wide application.
- (2) Functional area qualification standards shall build on the core competencies established in the general technical base qualification standard and shall be based upon general position requirements and accepted industry practices associated with the functional area.
- (a) Department-wide functional area qualification standards shall be developed for each of the functional areas.
 - (b) Functional area qualification standards shall contain the following information:
 - 1 Duties and responsibilities associated with the functional area;
 - 2 Background and experience in terms of preferred education and experience, this does not supersede requirements established by the Office of Personnel Management;
 - 3 Listing of the technical competencies associated with the functional area. The competency statements define the level of expected performance for an individual. Supporting knowledge and/or skill statements shall be provided as guidance to describe the intent of the competency statements;
 - 4 Applicable evaluation requirements for completing the qualification standard;
 - 5 Continuing training and proficiency requirements.
 - (c) The Office of Training and Human Resources Development shall coordinate the development, maintenance and distribution of the functional area qualification standards.
 - (d) The Technical Excellence Executive Committee shall approve the functional area qualification standards for Department-wide application.
- (3) Office/facility-specific qualification standards shall build upon the functional area qualification standards and be

based upon a functional analysis of requirements associated with the position.

- (a) The affected Headquarters or Field Element office shall develop and maintain office/facility-specific qualification standards.
 - (b) The content and approval of these standards shall be determined by the affected Headquarters or Field Element office.
- e. Qualification Standards shall be formally reviewed and updated at least every 3 years.

3. IMPLEMENTATION OF THE QUALIFICATION PROGRAM.

- a. Headquarters and Field Element Managers shall designate the positions and/or individuals in their respective organizations required to participate in the Technical Qualification Program, and the functional area that applies to them.
- b. Employees in the Technical Qualification Program shall:
 - (1) satisfy the applicable competencies contained in the following qualification standards:
 - (a) the general technical base qualification standard;
 - (b) the appropriate functional area qualification standard; and
 - (c) the office/facility-specific qualification standard applicable to their position.
 - (2) complete the program in accordance with the following schedule:
 - (a) Incumbent employees shall complete the Technical Qualification Program within 3 years of the date of this Order.
 - (b) New hires and personnel transferred or promoted into a new functional area shall complete the program within 18 months of their hire, transfer, or promotion date.
 - (c) Personnel transferred or promoted within their functional area shall complete office/facility-specific requirements within 1 year of the transfer or promotion.
- c. Exemptions may be necessary to excuse an individual from completing one or more of the competencies in Department-wide qualification standards. Exemptions shall be processed as follows:

- (1) Exemptions from individual competencies shall be justified and documented using the Technical Qualification Program Competency Exemption Form (Attachment A);
 - (2) Exemptions shall be requested by the individual's immediate supervisor, and approved one level above the immediate supervisor.
 - (3) Copies of approved exemptions shall be forwarded to the local training office for transmittal to the Office of Training and Human Resources Development.
 - (4) The Office of Training and Human Resources Development shall track all exemptions for review by the management sponsor during the qualification standard review and update process.
- d. Equivalencies may be granted to personnel that satisfy competencies indicated in the qualification standards based upon previous education, training, certification, or experience. Equivalencies shall be processed as follows:
- (1) Equivalencies for individual competencies shall be granted based only upon objective evidence that the individual satisfies the competency.
 - (2) All equivalencies shall be documented and approved one level above the individual's immediate supervisor.
 - (3) Formal documentation of equivalencies shall be included as part of the individual's training and qualification record.
- e. Individual Development Plans, Training Plans, Technical Qualification Records, or Related Documents shall be updated to reflect the learning activities that an individual shall participate in to satisfy competencies.
- f. Headquarters and Field Elements Affected by the Technical Qualification Program shall develop written procedures to govern the implementation of the Program in accordance with the overall requirements of this Order. These procedures shall describe, but not be limited to:
- (1) the process for identifying personnel and/or positions required to participate in the Technical Qualification Program;
 - (2) the process and requirements for developing, approving, reviewing and maintaining office/facility-specific qualification standards;
 - (3) the process for evaluating employees against qualification standards and documenting the approval of exemptions and equivalencies for Department-wide competencies;
 - (4) the process and requirements for establishing and/or updating individual development plans, training plans, or

related training and qualification records to document the learning activities that an individual shall accomplish to satisfy established competencies;

- (5) the process for documenting the satisfactory completion of learning activities to satisfy established competencies; and,
- (6) the process and requirements for maintaining training and qualification related records.

g. Personnel Who Complete Applicable Qualification Requirements shall:

- (1) receive a Certificate of Completion signed by the applicable Headquarters or Field Element Office Manager.
- (2) continue their professional development and maintain proficiency through participation in continuing training, education, job rotations, and related activities as defined in the qualification standards.

4. PROGRAMMATIC EVALUATIONS.

- a. Headquarters and Field Element Offices shall conduct periodic self-assessments of the implementation of the Technical Qualification Program within their cognizant area of responsibility. These assessments may be included as part of the 3-year self-assessments required in Chapter I.
 - (1) Assessments shall ensure that appropriate personnel are identified to participate in the Program; that adequate progress is being made; and, that the Program is being implemented effectively and efficiently.
 - (2) Assessments shall be scheduled, performed and documented in accordance with established office procedures.
- b. Assistant Secretary for Environment, Safety and Health shall perform independent evaluations of the Technical Qualification Program.

5. RECIPROCITY.

- a. Personnel Transferred or Promoted to a New Assignment Within Their Functional Area shall complete the following:
 - (1) applicable competencies in the functional area qualification standards for which an exemption was granted at their previous assignment; and,
 - (2) the office/facility-specific qualification requirements at their new assignment.
- b. Personnel Transferred or Promoted to a New Assignment in a Different Functional Area shall complete the following:

- (1) the new functional area qualification standard competencies; and,
- (2) the office/facility-specific qualification requirements at their new assignment.

6. **RELATIONSHIP TO OTHER PERSONNEL ACTIVITIES.** The Technical qualification standards identify the preferred technical competencies of individuals filling selected positions and shall be considered under the following circumstances:

- a. New Hires, Transfers, or Promotions of Personnel - When filling a position that requires participation in the Technical Qualification Program, the technical competencies identified in the Technical qualification standards should be incorporated into the selection process as appropriate;
- b. Position Descriptions when being developed and/or revised, should reflect the technical competencies identified in the Technical qualification standards as appropriate;
- c. Crediting Plans, and/or Rating and Ranking Factors used to select the most qualified individual, should reflect the appropriate technical competencies identified in the Technical qualification standards.

7. **RECORDS.** A training and qualification records system shall be established for each employee in the Technical Qualification Program. The following records shall be maintained in this system:

- a. documentation of approved exemptions from competencies,
- b. documentation of approved equivalencies for competencies,
- c. completed qualification cards, records, or other documents that document satisfactory achievement of competencies, and
- d. technical qualification program certificates of completion.

TECHNICAL QUALIFICATION PROGRAM
COMPETENCY EXEMPTION FORM

Name: _____ **Date:** _____

Functional Area: _____

Competency for Which Exemption is Requested (include number and wording):

Justification for Exemption:

CANCELLED

Requested By: _____ **Date:** _____
Immediate Supervisor

Approved By: _____ **Date:** _____
Second Level Supervisor

Reviewed By: _____ **Date:** _____
Training Officer

Original to: Individual's Training and Qualification Record

Copy to: Individual
Office of Training and Human Resources Development (DOE-HQ)

CHAPTER III

CONDUCT OF TECHNICAL TRAINING

1. APPLICABILITY.

- a. These requirements are in addition to the requirements in Chapter I of this Order. The requirements in this chapter shall apply to training that supports the Technical Qualification Program described in Chapter II of this Order. The requirements contained in this chapter should also be considered for the training of Department of Energy employees at facilities or organizations not affected by the Technical Qualification Program.
- b. These requirements apply to new technical training design, development and implementation activities that occur after the approval date of this Order. Existing technical training activities and programs shall meet the requirements of this document within 18 months of the approval date of this Order, or prior to being used, whichever is longer.

2. DESIGN AND DEVELOPMENT OF TRAINING COURSES. technical training courses include all classroom, laboratory, computer-based training, and individualized instruction activities that are designed to provide a structured and formal learning environment.

- a. Department-Wide Technical Training Courses shall support the competencies documented in the general technical base qualification standard and the functional area qualification standards.
- b. Office/Facility-Specific Technical Training Courses shall support the competencies documented in the office/facility-specific qualification standards.
- c. Department-Wide Technical Training Courses shall each have a Departmental Office or Element designated as a course sponsor. course sponsors are responsible for the following:
 - (1) ensuring the technical adequacy and accuracy of the course;
 - (2) ensuring the instructional adequacy of the course;
 - (3) ensuring that the course meets the requirements of this Order; and,
 - (4) overseeing the development and/or revision of the course.
- d. The Office of Training and Human Resources Development shall:
 - (1) maintain a database that indicates the competencies in the functional area qualification standards that are covered by Department-wide technical training courses.
 - (2) approve course sponsors for Department-wide technical training courses.

- (3) maintain the Department of Energy course catalog. All approved Department-wide technical training courses shall be listed in this catalog. The following information shall be included for each approved course:
 - (a) course title;
 - (b) course number;
 - (c) brief outline of the course content;
 - (d) terminal learning objective(s) or course goal(s);
 - (e) name of course sponsor (by organization);
 - (f) duration of the course;
 - (g) qualification standard competencies covered by the course.
- e. Documentation shall be maintained for all technical training courses, including:
 - (1) a lesson plan or detailed course outline indicating the technical content and instructional design of the training course;
 - (2) terminal learning objectives (or course goals) and enabling learning objectives, written in accordance with Department of Energy Guideline, "Guide to Good Practice For Developing Learning Objectives";
 - (3) an examination question bank, examination(s), or other formal evaluation tools, used to determine trainee mastery of the learning objectives; and,
 - (4) copies of all additional course materials such as student handouts, exercise guides, overhead transparencies, etc.
- f. Development or Revision of Department-wide technical training courses shall be closely monitored by the course sponsor.
 - (1) All new or revised Department-wide technical training courses shall be approved by the course sponsor prior to delivery. This approval shall consider the adequacy of both the technical content and the instructional methodology.
 - (2) The Office of Training and Human Resources Development shall concur with all Department-wide technical training courses for which they are not the course sponsor.

3. IMPLEMENTATION OF TRAINING.

a. Technical Instructor Qualification.

- (1) The training provider shall ensure that all classroom instructors have the instructional and technical qualifications required to conduct technical training.
- (2) Verification of the instructor's qualification shall be completed prior to conduct of the class.
- (3) The training provider shall ensure that the documentation used to verify the instructional and technical qualifications of the instructor is maintained as part of the training documentation. This shall include, at a minimum, a copy of the instructor's resume.
- (4) Supervisors and managers in Headquarters and Field Element Offices shall ensure that personnel serving as instructors and/or evaluators for on-the-job training activities are competent to conduct the training.

b. Testing and Evaluation.

- (1) Technical training courses that support the Technical Qualification Program shall include a written examination or other documented formal evaluation to determine satisfactory achievement of the learning objectives by the participants. Minimum acceptable criteria for completing and documenting evaluations shall be established by office policy or procedure.
- (2) Written examinations or other formal evaluation methods shall be based upon the course learning objectives. They shall be developed considering the guidance provided in Department of Energy guidelines "Guide to Good Practices For the Development of Test Items" and "Guide to Good Practices For the Design, Development, and Implementation of Examinations."
- (4) Examination results shall be kept confidential and only the individual, the individual's immediate supervisor, and the applicable Training/Personnel Office shall be notified of the results. Access to examination results by other individuals requires the approval of the local Personnel Office Director.
- (5) Individuals who do not satisfactorily complete a technical training course that supports a Technical Qualification Program requirement shall receive remedial training and be given an opportunity to be reevaluated.
- (6) Course sponsors and/or training providers shall maintain a controlled and secure training records system to ensure proper repository for written examinations, examination question banks, and other evaluation instruments.

4. TRAINING COURSE AND PROGRAM EVALUATION.**a. Training Course Evaluation.**

- (1) The Office of Training and Human Resources Development shall maintain a trainee course evaluation form to be used for all Department-wide technical training courses.
- (2) Training providers shall ensure that classroom training courses are evaluated by the trainees.
- (3) Course sponsors shall review the course evaluation results to determine if any changes or revisions to the course are required.
- (4) The course sponsor shall coordinate with the training provider to make changes or revisions. Changes or revisions to vendor provided training shall be requested in accordance with contract and procurement regulations.

b. Program Self-Assessments.

- (1) Headquarters and Field Element Offices shall conduct self-assessments of the design, development and implementation of technical training within their cognizant area of responsibility. These assessments may be included as part of the 3-year self-assessments required in Chapter I.
 - (a) Assessments shall ensure that the training is technically adequate and accurate, meets the requirements of this Order, and is being implemented effectively and efficiently.
 - (b) Assessments shall be scheduled, performed and documented in accordance with established office procedures.

c. Program Oversight. The Assistant Secretary for Environment, Safety and Health (EH) shall perform independent evaluations of technical training that supports the Technical Qualification Program.**5. TRAINING RECORDS.****a. The Training Officer (or Equivalent) Within Each Headquarters and Field Office shall maintain a centralized individual training and qualification records system for all employees within their organization.**

- (1) The centralized system shall ensure that a standard and consistent data base is available to support the needs of management, and ensure that records are available for employees, regardless if they transfer to another organization.

- (2) Individual training files shall contain the following information:
 - (a) copies of completed technical qualification records, and Certificates of Completion;
 - (b) the results of written examinations or performance evaluations that document the completion of competencies in the Technical Qualification Program;
 - (c) Technical training courses completed, including the dates of the course and the grade(s) for examinations;
 - (d) seminars, workshops, or other training activities that are not considered technical training; and
 - (e) documentation of completed on-the-job training and mentoring activities.
- b. Training Providers shall ensure that post-training documentation is obtained upon completion of technical training courses.
 - (1) Post-training documentation shall include the following:
 - (a) examination results for technical training that supports the Technical Qualification Program;
 - (b) signed attendance sheet(s) for each day of the training;
 - (c) copy of the instructor's resume and other supporting documentation used to verify qualification of the instructor;
 - (d) copy of the course outline and learning objectives; and,
 - (e) copy(s) of training course evaluation results.
 - (2) The Office of Training and Human Resources Development shall maintain post-training documentation for Department-wide technical training.
 - (3) Headquarters and Field Element Offices shall maintain post-training documentation for office/facility-specific technical training.

CHAPTER IV

ACADEMIC DEGREE TRAINING

1. APPLICABILITY.

- a. These requirements apply to 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 the agency.
- b. The provisions of this Chapter allow for the authorization of training, without regard to the constraints in the training law on "academic degree training", when the training is necessary to assist in the recruitment or retention of employees in occupations in which there are existing or anticipated shortages of qualified personnel.
- c. Exemptions. Employees occupying or seeking to qualify for appointment to Schedule C positions and Presidential appointees are not eligible for academic degree training.

2. AUTHORIZATION OF ACADEMIC DEGREE TRAINING.

- a. Training may be authorized under this authority only when it is necessary to assist in the recruitment or retention of an employee in an occupation for which a shortage of qualified personnel exists or is anticipated. Shortage category determinations shall be made in accordance with 5 Code of Federal Regulations 410.511 (b) and (c).
- b. At Headquarters, the Deputy Assistant Secretary for Human Resources shall make the determination that a recruitment and/or retention problem exists that will result in a shortage of qualified personnel. For all other offices, this determination shall be made by the Head of the Departmental Element.
- c. To remedy a retention problem, training must involve a course of study which is selected mainly for its potential contribution to effective performance in that occupation.
- d. Recruitment, retention and other problems related to the shortage of qualified personnel shall be evaluated by the Deputy Assistant Secretary for Human Resources using the criteria set forth in 5 Code of Federal Regulations 410.511 (d), (e) or (f).

3. IDENTIFICATION OF CANDIDATES. Recruitment methods and types of appointments shall be based upon the specific recruitment or retention problem and, therefore, will vary from situation to situation. However, the following conditions and options apply to all situations:

- a. Any available appointment mechanism may be used as long as it allows a continued service agreement to be fulfilled.
- b. Candidates may be selected from within or recruited from outside the Department.

- c. Recipients of academic degree training must be qualified for the positions they will occupy while being trained.
 - d. 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.
4. **AUTHORITY TO TRAIN EMPLOYEES.** In exercising the academic degree training authority of this chapter, Heads of Departmental Elements shall:
- a. Give priority to relieving shortages in occupations which involve skills critical to the organization's mission.
 - b. 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.
5. **DOCUMENTATION AND REPORTING REQUIREMENTS.** Each servicing personnel office/training office shall have available for review:
- a. A record of employees who are assigned to training under these provisions;
 - b. A record of any finding that a continuing shortage exists, along with evidence leading to that finding and a reassessment of that finding no later than 3 years after the most recent determination;
 - c. Records required in a and b above shall be retained for 3 years beyond completion of training or degree; and
 - d. The following information in the Official Personnel Folder of each employee participating in such training:
 - (1) The justification for the shortage determination, described in terms of occupational series, grade or grade range, geographic locality, and organizational assignment;
 - (2) Kind of training, a description of the field of study, and nature of any degree pursued under the training; and,
 - (3) A written continued service agreement.

CHAPTER V

RETRAINING

1. APPLICABILITY.

- a. This chapter is applicable to Department of Energy Federal employees.
- b. Retraining programs are designed to provide new knowledge, skills or competencies to employees because of knowledge or skills obsolescence in current position(s) or to meet changing mission requirements.

2. EMPLOYEE PARTICIPATION. In occupational retraining, where an increase in promotion potential may result, employee participation is governed by applicable merit staffing procedures. In all retraining, participation shall also be consistent with:

- a. the program's purpose, coverage, and allocated resources;
- b. the extent to which an individual's current skills, knowledge, and experience are beneficial in learning new functions;
- c. the extent to which an individual is motivated to learn new functions; and,
- d. the cost-effectiveness of retraining to meet mission needs.

3. CONSISTENCY WITH DEPARTMENT OF ENERGY HUMAN RESOURCE MANAGEMENT POLICIES.

- a. Retraining programs shall be consistent with human resource management policies and practices. The following shall be considered when establishing a program:
 - (1) Waiver of qualifications for initial placement;
 - (2) Pay and grade retention;
 - (3) Retreat to previous or equivalent position;
 - (4) Tenure status; and,
 - (5) Accelerated promotion(s)
- b. Retraining program managers shall ensure that work assignments involving the White House, the Executive Office of the President, the Congress, or foreign travel receive required special concurrences, and that a continued service agreement is completed by an employee before beginning a retraining program.

4. TYPES OF RETRAINING.

- a. Position Retraining shall be provided to implement changes in policy, objectives, processes, results, or other work activities or conditions in current or anticipated functions. Position retraining does not involve a promotion or a change in promotion potential or occupation.

- b. Occupational Retraining shall be provided as a result of a change to a new occupation and may or may not affect promotion potential. Occupational retraining shall include all competencies needed to perform effectively in the new occupation.

CANCELED