

US. Department of Energy
Washington, D.C.

ORDER

DOE 3410.1B

2-29-88

SUBJECT: TRAINING

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1. PURPOSE. To prescribe policy, assign responsibilities, and provide guidance and instructions for establishing, maintaining, monitoring, and evaluating Department of Energy (DOE) employee development and training program and activities.
 2. CANCELLATION. DOE 341 0.1A, TRAINING, of 5-4-830
 - 30 APPLICABILITY. Provisions of this Order apply to all civilian employees except persons appointed by the President.
 4. REFERENCES.
 - a. DOE 3735.1. DISSEMINATION OF THE DEPARTMENTAL CONDUCT OF EMPLOYEES REGULATIONS, of 5-1-80, which prescribes standards for all employees.
 - b. Federal Personnel Manual (FPM), chapter 410, which contains policy, basic requirements, and guidance relating to the training of Federal employees.
 - c. Title 5, United States Code (U.S.C.), section 4103, which provides authority for agencies to establish, operate, and maintain training programs.
 - d. Title 26 U.S.C. 501, which establishes criteria for employees receiving contributions, awards, and other payments from non-Government organizations.
 - e. Civil Service Reform Act (CSRA), which establishes authority to retrain employees for positions in other agencies to avoid separations during reductions in force.
 - f. Executive Order 11348, which expands authority to train Government employees.
 - g. Executive Order 11478, which provides that equal opportunity be an integral part of every aspect of personnel policy and practice in the employment, development, and advancement of civilian employees of the Federal Government.

DISTRIBUTION:
All Departmental Elements

INITIATED BY:
Office of Personnel

5. DEFINITIONS.

- a. Approving Official. Secretarial Officers, Heads of Field Elements, and any other person to whom authority has been delegated to approve training assignments. Approvals are subject to authorization in accordance with Subparagraph b.
- b. Authorizing Official. Heads of Field Elements, the Director of Personnel for all Headquarters Elements (except the Office of the Inspector General (16-1)), Executive Director (16-10), and any person to whom they have delegated their authority to authorize training assignments upon assurance that the contemplated expenses are necessary, proper funds are available, and that related legal and administrative requirements are met.
- c. Supervisor. An individual who has authority in the Interest of the Department to hire, direct, assign, or reward, transfer, furlough, lay-off, recall, suspend, discipline, or remove employees, to adjust their grievances, or to effectively recommend such action if the exercise of the authority is not merely routine or clerical in nature but requires the consistent exercise of independent judgment. Typically, a supervisor is responsible for the direction of a staff of three or more employees.
- d. Manager. An individual in a position which requires the Incumbent to (1) direct the work of an organization; (2) be held accountable for the success of specific line or staff programs, projects, functions, or activities; (3) monitor the progress of the organization toward goals and periodically evaluate and make appropriate adjustments; and (4) perform a full range of managerial duties and responsibilities. Typically, a manager is in the GM-13 to GM-15 grade range or above and directs a subordinate supervisory staff.

6. POLICY.

- It is DDE policy that all employees be provided with opportunities to improve their knowledge, skills, and abilities to enable them to perform effectively tasks assigned and to be assigned. Within the constraints of available resources, opportunities also will be provided to prepare employees for advancement in accordance with specifically defined and approved training needs which arise or are anticipated in carrying out the DDE mission.

- b. The overall objective of employee development and training is to foster the development of an efficient and effective work force, and in turn further DOE's mission accomplishment. DOE recognizes that training is a necessary and inseparable function of management and, therefore, supports maximum flexibility to encourage managers to design and implement cost-effective training programs in ways which best fit the special needs of DOE programs.
- c. All employees will receive fair and equitable consideration for training opportunities without regard to race, color, national origin, religion, age, sex, physical, mental or emotional handicap, or other factors unrelated to the need for training.

BY ORDER OF THE SECRETARY OF ENERGY:



LAWRENCE F. DAVENPORT
Assistant Secretary
Management and Administration



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CHAPTER 1
RESPONSIBILITIES AND AUTHORITIES

1. ASSISTANT SECRETARY, MANAGEMENT AND ADMINISTRATION, shall:

- a. Oversee the development of training policies and their implementation.**
- b. Concur in requests to the Office of Personnel Management to train Presidential appointees.**

2. DIRECTOR OF ADMINISTRATION shall :

- a. Assure that training policies and programs meet the developmental needs of the Department.**
- b. Assist the Assistant Secretary, Management and Administration, in planning and guiding the continued development of executive manpower resources, and in carrying out approved development plans and actions of the Executive Personnel Board.**
- c. Keep the Assistant Secretary, Management and Administration, informed of the current status of employee training and development in the Department and its impact on mission accomplishment.**
- d. Approve any full-time training where tuition and fees exceed \$3,000 for a single program for a single employee.**
- e. Authorize, subject to the concurrence of the Assistant Secretary for International Affairs, requests for foreign training assignment or attendance at international conferences for training purposes.**

30 DIRECTOR OF PERSONNEL shall:

- a. Serve as DOE liaison with the Office of Personnel Management on training matters.**
- b. Develop and promulgate Departmentwide policies, standards, procedures, guidelines, and records and reporting requirements concerning employee development and training.**
- c. Provide advice, guidance, information, and staff assistance regarding employee development and training to DOE organizations, managers, supervisors, and employees.**

- d. Develop and administer Departmentwide training programs responsive to DOE requirements.
- e. Review utilization of authority to waive statutory limitations on use of non-Government facility training to ensure compliance with staff-year limitation restriction as prescribed by FPM chapter 410, subchapter 5-5.
- f. Recommend waiver of the 1-year-in-10 restriction to use non-Government training facilities. (See page 11-1. paragraph 2b.)
- g. When necessary, enter into agreements with other Government agencies to use their training programs and facilities and to extend to other agencies the programs and facilities of DOE.
- h. Establish a system to identify those employees with potential for positions of supervisory, managerial, and executive level responsibilities and provide support in developing, implementing, and evaluating supportive career development programs. Such programs shall be subject to competitive procedures as appropriate.
- i. Audit and evaluate training conducted by component organizations throughout DOE focusing especially on needs assessment, relevancy of training and training evaluation.
- j. Assure fair and equitable treatment of employees and reasonably uniform administration of employee development and training.

4. APPROVING OFFICIALS shall:

- a. Identify short- and long-term development and training needs of their organizations and employees, and formulate annually formal plan to meet such needs.
- b. Consistent with the criteria in Chapter V, determine whether it is in the Government's Interest to waive, in whole or in part, any right to recover, under a continued service agreement, the additional expenses for training.
- c. Recommend to the Director of Administration assignment of employees for training by, in, or through non-Government facilities outside the United States and training facilities of foreign governments, international organizations, or their instrumentalities.
- d. Provide appropriate management, technical, and general training when not provided centrally.
- e. Evaluate all training sponsored and/or administered by their organization.

- f. Recommend **employees for special** Centralized development and training programs requiring Departmentwide competition.
- g. Ensure that newly appointed managers and supervisors receive training in managerial and supervisory knowledge, skills, and abilities appropriate to the position being filled. At a minimum, they must receive the training required in Chapter 111 or obtain certification of equivalent training.

5. AUTHORIZING OFFICIALS shall:

- a. Assure that approved training is in compliance with Federal and DOE policies and procedures.
- b. Waive, as appropriate, the 1-year continuous service requirement for the use of non-Government training facilities. (See Page II-1, paragraph 28.)

6. ASSISTANT SECRETARY FOR INTERNATIONAL AFFAIRS AND ENERGY EMERGENCIES shall:

- a. Concur with the assignment of employees to training by, in, or through non-Government facilities in countries where sensitive diplomatic situations exist.
- b. Identify those foreign governments, international organizations, or their instrumentalities, eligible to provide training for DOE employees, or to attend DOE training programs.

7. FIRST-LINE SUPERVISORS shall:

- 8. Use performance appraisal as a basis for recommending training.
- b. Counsel employees concerning career development and training opportunities. Encourage employees to improve their performance through systematic and continuous self-development.
- c. Provide for scheduled and systematic training and development of all subordinates--clerical, technical, and professional. Conduct on-the-job training for employees, and assure that training is necessary, relevant, and reasonable in cost.
- d. Assist in evaluating training completed by their personnel, as appropriate, by formally stating whether training was effective in improving performance.

8. **EMPLOYEES** shall:

- Identify additional knowledge, skills, and abilities required to achieve immediate and long-range career development goals. Each employee has the primary responsibility for identifying and accomplishing his or her own immediate and long-range career development goals.
 - b. Satisfactorily perform in all assigned training.
 - co Provide objective feedback to their supervisors and appropriate training officials concerning the relevance of training to job performance.
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CHAPTER II

LATITUDE AND RESTRICTIONS

1. LATITUDE TO TRAIN AND DEVELOP EMPLOYEES. Training may be full time or part time, on or off duty, day or evening or any necessary combination. It may be given by DOE, another Government agency or, subject to certain statutory limitations, by a non-Government facility, an educational institution, or by other competent individuals or groups in or out of Government. It may be accomplished through correspondence, classroom work, conferences, workshops, supervised practice, or other methods or combinations.

20 PROHIBITIONS AND RESTRICTIONS ON USE OF NON-GOVERNMENT TRAINING FACILITIES.

- a. One-Year Service Requirement. Normally, an employee having less than 1 year current, continuous civilian service in the Government shall not be provided non-Government training unless a waiver is granted by the appropriate authorizing official after determining that such training is in the public interest. Exceptions to this limitation and waiver requirement are training which:
- (1) Does not exceed 40 hours of classroom training in a single program during the employee's first year of current, continuous civilian service;
 - (2) Is provided by a manufacturer as part of a normal service incident to initial purchase or lease of equipment by the Government;
 - (3) Is provided through correspondence courses;
 - (4) Requires no tuition, fee, or charge other than salary expenses; or
 - (5) Is an integral part of a formal, entry-level development program.
- b. One-Year-in-Ten. In the first 10 years of total civilian service following the date of the employee's entry into Government service, and in each such 10-year period of service thereafter, the total length of non-Government training provided to each employee shall not exceed 1 year. Training time not used during any 10-year period may not be carried over for use during succeeding 10-year periods.
- (1) Requests for waivers of the 1-year-in-10 limitation for periods of training not to exceed 2 years must be submitted to the Director of Personnel through the Employee Development and Training Division. A recommendation will be made to the Secretary or the

Office of Personnel Management, as appropriate, whether the waiver should be granted. The conditions under which a waiver may be granted are provided in FPM chapter 410, subchapter 5-5.

- (2) The periods of training indicated on page II-1, paragraphs 2a(1) -(3), do not have to be counted against the 1-year limitation.

- c. **One Percent Limitation.** The total staff years of non-Government training provided by the Department in any fiscal year shall not exceed 1 percent of the total number of staff years of civilian employment for the Department in the same fiscal year. This limitation applies within each organizational element and adequate controls must be maintained to ensure that it is not exceeded. Requests to exceed this limitation shall be addressed to the Director of Personnel.
- d. **Academic Degrees.** Non-Government training cannot be provided for an employee solely for the purpose of obtaining an academic degree or degrees. This does not preclude providing training in a degree granting institution, nor does it prohibit an employee from earning and accepting credit toward a degree. Employees may receive academic degrees as an incidental by-product of non-Government training sponsored by the Department.
- e. **Promotion Qualification.** Non-Government training solely to prepare an employee to fill a position by promotion shall not be provided if there is neither employee in the local area of equal ability and suitability who is fully qualified to fill the available position.
- f. **Review of Need for Training.** Before non-Government training which is more than 120 hours in a single program or is used to prepare an employee for a different occupational series is authorized, a determination must be made by the appropriate approving official that the functions for which the training would be needed cannot be assumed by other employees.

3. EQUAL OPPORTUNITY.

- a. In accordance with DOE's commitment to equal opportunity, it will establish and support development and training program and opportunities that provide knowledge and skills to assist employees to advance and to perform at their highest potential considering all training priorities and available resources.
- b. Managers and supervisors shall ensure fair and equitable treatment in the selection and assignment of employees for training. In providing development and training opportunities for employees, there shall be no discrimination because of sex, race, religion, color, national origin, age, physical, mental or emotional handicap, or other factors unrelated to the need for training.

- c. DOE shall, in the selection of training facilities, make reasonable accommodation to the known physical limitations of handicapped employees. The existence of architectural barriers that restrict the free movement of individuals is a major factor to be considered. When more than one facility is available at a desired site, the facility with fewer barriers may be chosen even if the cost is higher. The additional cost is a legitimate training expense under title 5, U. S. C., section 4103.
- d. Expenses to provide handicapped employees with such special services as interpreters for the deaf, readers for the visually impaired, and taping and braille of materials which are necessary to provide access to printed course materials may be authorized as appropriate.
- e. Serious consideration should be given to the possibility of retraining disabled employees for positions within DOE for which they have the basic qualifications and capabilities in lieu of disability retirement.
- f. DOE shall not support or financially assist, directly or indirectly, any conference, seminar, or meeting held under circumstances where participants are segregated or are treated unequally because of race, color, religion, sex, national origin, age, or physical, mental or emotional handicap.

4. ACCEPTANCE OF CONTRIBUTIONS, AWARDS, AND OTHER PAYMENTS FROM NON-GOVERNMENT ORGANIZATIONS.

- a. Subject to written approval by the approving official and the concurrence of the Assistant General Counsel for General Law, employees may accept contributions and awards from non-Government organizations incident to training in non-Government facilities and payment of travel subsistence. And other expenses incident to attendance at meetings if the contributions, awards, or payments are made by an organization determined by the Secretary of the Treasury to be an organization which is exempt from taxation. Requests for approval of acceptance of such contributions, awards, or payments must be in writing.
- b. An approving official may approve such requests if he or she determines that acceptance of the contribution, award, or payment will not result in conflict or apparent conflict of interest and that except as authorized by paragraph 4a) the payment is not a reward for any official act performed by the employee. In making such determinations, the approving official should consider:
 - (1) The effect on the employee's ability to carry out his or her duties objectively and impartially.

- (2) The effect of the payment on the integrity of Government programs and official decisions.
 - (3) The nature of the organization making the payment, its relationship to DOE, and the duties of the employees they relate to the organization.
 - (4) The reasonableness of the amount of the payment and any conditions attached to its acceptance.
- c. The provisions in paragraph 4a apply if the instances of training or attendance meet:
- (1) Occur partially or wholly within periods when the employees are on duty, or
 - (2) Are paid for in whole or part by DOE.

5. ATTENDANCE AT MEETINGS FOR TRAINING PURPOSES.

- a. It is important for professional staff to keep abreast of significant developments in their career areas, both for the continued success of agency program and for the development and retention of competent personnel. A determination must be made whether the meeting is for training purposes. If the primary purpose of attendance at a conference, seminar, workshop, or similar session is to improve knowledge, skills, or abilities, then such attendance should be considered training. Consideration should be focused on identification of the objectives of the meetings in terms of "outcomes" which are clear, concise statements of what the attendee will be able to do, or do better, as a result of attending the meeting. Requests to attend meetings that are for training purposes must be submitted to the servicing personnel office in the same manner as other requests for training.
- b. The authority to pay expenses incurred for attendance at meetings is in addition to the training authorized by chapter 41 of title 5, United States Code. It is not subject to the special requirements which the law establishes for training.
- c* Each servicing personnel office shall establish policy which provides criteria for approval of attendance at meetings. Generally, that policy should:
 - (1) Encourage attendance at appropriate meetings which promote effective communication of ideas and information in areas significant to agency operations and/or the career development of employees.

- (2) Provide for consideration of the probable impact of attendance on the conduct, supervision, or management of agency functions. .
- (3) Delegate authority to approve attendance at a level comparable to that for training approval.
- (4) Allow for attendance at meetings without charge to leave when travel funds cannot be provided.
- (5) Provide for wide distribution of opportunities among those who are eligible and would benefit from attendance at meetings.



CHAPTER 111

PLANNING AND EVALUATING TRAINING

1. IDENTIFICATION OF TRAINING NEEDS AND PRIORITIES.

- a. Approving officials will conduct, at least annually, a systematic training needs assessment. As a minimum requirement, the needs identification system must:
 - (1) Place emphasis on Program objectives and program needs while considering individual employee training needs.
 - (2) Be utilized as active input in determining resources necessary to establish and maintain an efficient and effective training program.
 - (3) Obtain input from employees and supervisors.
 - (4) Deal with needs and objectives as well as courses or program titles.
 - (5) Consider future staffing and program needs.
 - (6) Identify and rank priority needs, regardless of whether resources are available to meet all defined needs.
 - (7) Provide feedback to managers, supervisors, and employees regarding the nature and extent of training needs.
 - (8) Be coupled with a resource inventory identifying potential in-house resources that might be utilized to meet the identified needs.
 - (9) Be used as a basis for the annual training plan and budget.
- b. While the predominant focus of the needs identification system is identifying and addressing organizational needs, supervisors should make maximum use of current information on the experience, qualifications, performance, and potential of employees under their supervision. Supervisors should refer to performance appraisals of employees for indicators of performance deficiencies. If the cause of a deficiency is the employee's lack of competency (knowledge, skill, or ability), the findings of the performance appraisal should be used to design and select the training (formal or on-the-job) most appropriate to correct the particular deficiency.

2. ANNUAL TRAINING PLANS. Following the annual needs determination and priority setting process every Departmental Element is required to develop an annual training plan or update the existing one. The purpose of the training plan

Is to rank training needs, to estimate required resources, Prepare budget Submissions, and to develop strategies for carrying out the plan. The plan should include the needs assessment and priority setting methodology utilized; the estimated resources needed to carry out the plan; and the estimated number of employees to be trained, listed by types of training, and training sources. This document will not only serve as a training management tool, but also as a basis for Departmental evaluation of training. The training plan is a blueprint of the organization's training program based on the needs assessment.

3. **COUNSELING.** Counseling employees about career development and training opportunities is a supervisory and managerial responsibility. This should be done at least twice per year, preferably at the performance appraisal mid-year and end-of-year appraisal periods. An employee of the servicing personnel organization can assist and complement the supervisor and manager by providing information and guidance on training matters to employees.

4. **SELF-DEVELOPMENT.**

- a. **Purpose and Scope.** Self-development is growth through planned development and training activities which serve to increase the employee's competence and usefulness to the organization. The activities may consist, for example, of study, teaching, professional writing for publication, membership, and participation in professional organizations and societies, and other activities related to the interests and goals of both the employee and DOE. These activities are primarily paid for by the employee and engaged in on his or her own time.

- b. **Responsibilities.** Managers and supervisors shall actively and regularly encourage employees to pursue a wide variety of self-development and self-improvement efforts. This includes being knowledgeable about and counseling employees on potential benefits and possible DOE assistance including:

- (1) Self-study, correspondence, and programmed learning.
 - (2) Tuition support or assistance.
 - (3) Work schedule variation with appropriate documentation in official personnel folder.
 - (4) Possible leave without pay, annual leave, or part-time employment in support of training.

5. **DEVELOPMENTAL TRAINING.**

- a. Within the constraints of available resources, supervisors and managers should encourage developmental training to expand upon the skills

employees need to currently perform their official duties or those that they could reasonably be expected to perform in the foreseeable future. Such training should be carefully planned. Supervisors and managers should consider specific criteria such as those listed below to determine whether a particular developmental effort is appropriate and cost effective.

- (1) Will the training/developmental activities contribute to the accomplishment of short- or long-range organizational goals? (Will it meet an organizational need?)
- (2) Is the training for an area of expertise or a skill that can be reasonably attained in the foreseeable future (generally 1-2 years)? Is it economical/cost effective for the time invested or the expense incurred when other means for acquiring the skills are considered? (If on extended period of training is required for an individual to obtain the necessary skills, other options, such as outside recruitment of an individual who already possesses the needed skills, should be considered.)
- (3) Will the training directly contribute to the employee's improved effectiveness in performing the duties of his or her position? Does it exist or is it expected to evolve in the next 1-2 years?
- (4) Will the amount of time that the training effort will require impact adversely on the current work of the organization?
- (5) Is the training common to groups of employees or is it an individual need? (Is the training being provided elsewhere in the Department? Can resources be shared?)
- (6) Can the training be obtained/provided in compliance with relevant OPM and DOE regulations and policies?

- b. Although there is no prescribed formula for developmental training opportunities in which employees may participate, supervisors and managers are responsible for assuring that such training is related to organizational mission and objectives as well as the overall career interests of employees.

6. INDIVIDUAL DEVELOPMENT PLANS.

8. An Individual Development Plan (IDP) is an individually tailored plan established between supervisor and employee with the assistance of a training specialist outlining the employee's short- and long-range career objectives and the means (e.g. formal training, on-the-job training, or developmental assignment) for achieving these objectives.

within certain timeframes. The purpose of an IDP is to increase the current proficiency, development, and progression of the employee through a systematic training plan.

- b. IDP's are encouraged, but optional, except in the following cases where they are mandatory.

(1) For all members of the Senior Executive Service.

(2) For an employee competitively selected for training that will lead to advancement or which is required for promotion.

(3) For an employee selected for upward mobility. If training is preparation for an identified position.

(4) For employees selected to participate in a program requiring an IDP. For example, the Senior Executive Service Candidate Development Program.

(5) For developmental training designed to meet projected training needs.

(6) For any specific training incident or program exceeding 120 hours in length or \$3,000 in cost to DOE (excluding salary, travel, and per diem).

- c. If an organization's commitment to an individual or a training plan or program is such that a formal development plan would be in order, it should include the nature and scope of the program, its objectives, the respective contributions, and commitment of the parties. It should be reviewed and updated annually, or as necessary, and copies provided to the local servicing personnel office and the employee involved. IDP's will be maintained in a training folder or on the left side of the official personnel folder.

7. ORIENTATION TRAINING.

- a. Orientation has significant value in assisting employees to become productive as quickly as possible, in reducing turnover, and in providing employees necessary information and knowledge about their total employment. Procedures shall be established to assure that initial orientation is systematically and thoroughly provided each new employee. In addition, periodic orientation should be provided to all employees as needs develop.
- b. Initial program orientation is usually arranged and coordinated by the servicing personnel office and conducted by representatives of various DOE organizations.

- c. On-the-job orientation, usually provided by the supervisor, should be conducted to assure the employee is oriented to the work of the organization, the relationship of his or her work to that of others, and applicable operating procedures and standards.

8. **LONG-TERM TRAINING.**

- a. Long-term training, training assignments lasting more than 120 days, is a unique learning and developmental opportunity which enables employees to keep abreast of changes and innovations in their occupational fields, learn new skills, or develop or improve abilities needed in current or future positions. As it is a substantial investment of both dollar and manpower resources, special procedures should be developed to assure that long-term training assignments are effective and appropriate training endeavors.
- b. Selections for long-term training, whether in a Government or non-Government facility, may result in increased opportunity for advancement and promotion. Competitive selection procedures must be used, therefore, to select employees for long-term training opportunities. Merit selections will eliminate the possibility of complaints of discrimination or preselection for resultant promotions.
- c. Generally, long-term training should be used when:
 - (1) The needed set of knowledge or skills requires a comprehensive study program which could not be accomplished by a series of inconsecutive short-term courses.
 - (2) The time span for acquisition of the knowledge or skills is such that a concentrated long-term program is most feasible.
 - (3) The set of knowledges or skills is so new or so unique that it could not be readily obtained on a short-term basis from any available agency or interagency source or from a non-Government source.
- d. Schedule C and noncareer employees should not be selected for long-term training as DOE would not realize any long-term benefit from its substantial investment due to the indefinite employment period of such employees.

9. **RETRAINING.**

- An employee may be trained for a vacancy in another agency if the employee "would otherwise be separated under conditions which would entitle him or her to severance pay. An employee must have received specific notice of proposed separation before training is given."

- b. Every effort should be made to reassign displaced employees to positions using their present skills prior to undertaking retraining programs.
- c. Retraining is authorized when a need for applicants with such skills or abilities has been concurred in by an appropriate OPM examining office or the retraining will qualify the employee for:
 - (1) A special pay rate position;
 - (2) A shortage category occupation;
 - (3) A position for which there is direct hire or recruiting authority;
 - (4) A position covered by a training agreement; or
 - (5) A position to be filled under a joint agreement between the gaining and losing agency.
- d. Retraining is not to be approved when it would qualify an employee for an occupation with greater promotional potential than the career ladder of the occupation formerly held unless the employee to be retrained was selected competitively for such training.

10. SUPERVISORY AND MANAGEMENT TRAINING.

- a. Recognizing the important and critical role of supervisors and managers in carrying out missions and program, DOE supports the training and development of supervisors and managers to ensure that they possess the required knowledge, skills, and abilities.
- b. All new first-level supervisors are to receive 80 hours of supervisory training within their 1-year probationary period or certify, subject to concurrence by the training officer and approval by the authorizing official, the completion of equivalent training. The 80 hours will be designed to enable employees to transition successfully from being an individual worker to directing the work of others. The first 40 hours of the training must be completed within the first 6 months of service in the supervisory position.
- c. The first 40 hours of the required 80 hours of supervisory training will cover the role and responsibilities of the supervisor and Department personnel policies, practices, and procedures. The 40 hours will be a prerequisite for attending the second 40 hours.
- d. The second 40 hours will cover supervisory philosophies, principles and techniques, human relations and motivation, communication, and problem-solving skills.

- e. The criteria for attendance at the DOE supervisory development program is as follows:
- (1) First Priority - New supervisors serving a probationary period. "
 - (2) Second Priority - Supervisors who were not required to complete or who have completed a probationary period but have not had equivalent supervisory training.
 - (3) Third Priority - Supervisors who have not had supervisory training in the last 5 years.
 - (4) Fourth Priority - Nonsupervisory employees on a case-by-case basis as justified under special circumstances. Written justification must be approved by the Employee Development and Training Division before an employee can be scheduled to attend.
- f. The content of the 80-hour supervisory program is to be determined by the Employee Development and Training Division in consultation with managers and personnel and training officers. Delivery will be accomplished through appropriate field components and the Employee Development and Training Division. A written justification for attendance at courses other than those administered and/or conducted by DOE staff to meet the 80-hour requirement must be provided and approved by the appropriate authorizing official. Development of local programs to meet the 80-hour requirement must be approved by the Employee Development and Training Division.
- g. Supervisors who successfully complete their probationary period and the 80 hours of required training should continue to enhance their supervisory skills and prepare themselves for increasing management responsibilities through participation in various specialized formal training courses at least every 2 years and in other developmental activities, e.g., rotational assignments and special projects designed to address their specific needs.
- h. Managers serving a probationary period are to attend the 40-hour Management Development Seminar sponsored by the Department or certify, subject to concurrence by the training officer and approval by the authorizing official, the completion of equivalent training. The criteria for attendance at the DOE management development program follows the same sequence as paragraph 10e above, does for supervisors.
- i. Managers who successfully complete their probationary period should continue to improve their managerial effectiveness through developmental experiences and training which focus on mastering identified managerial and executive competencies.

- j. Satisfactory completion of required supervisory and/or management training is one of the factors considered by reviewing officials in determining whether newly appointed managers or supervisors have received a full and fair trial as a probationary employee and are ready to be permanently assigned to a supervisory or managerial position. Timely attendance at required training is critical.
- k. Headquarters and field personnel offices should develop a system for tracking probationary supervisors and managers and scheduling them for appropriate training within required timeframes.

11. EVALUATION OF TRAINING.

- a. Just as training is an integral part of every supervisor's and manager's responsibility, periodic evaluation of training policies and programs to determine if objectives are being met and resources utilized effectively are also a management responsibility. Accordingly, approving officials are charged with the responsibility to evaluate periodically the effectiveness of their training policies and programs. At a minimum, the evaluation must address the following issues:
 - (1) Do the operational training policies and procedures assist managers in carrying out their responsibilities and, if not, what changes are recommended?
 - (2) Does the organization have an effective system for determining training needs and establishing training priorities?
 - (3) Is each training incident evaluated to assure training objectives were met?
 - (4) Are Departmental and Office of Personnel Management training regulations and directives being followed?
 - (5) Are accurate data which reflect training costs, numbers of training instances, and types of training available to assist in managing the program?
- b. Records shall be kept to show the methods of analysis, findings, and recommendations as a basis for planning employee development and training activities.
- c. In addition to the internal or self-evaluation described above, both the Office of Personnel and the Office of personnel Management periodically will conduct in-depth reviews of development and training activities and programs seeking to improve the overall effectiveness of employee development and training in DOE.

CHAPTER IV

REQUESTING AND UTILIZING TRAINING RESOURCES

1. BUDGET AND OTHER TRAINING RESOURCES.

- a. In planning, programming, and budgeting for employee development and training, responsible officials must give careful consideration to resource needs and the most cost-effective approach to meet those needs. These requirements include manpower, training materials and equipment, training space, and funds to assure that resources are adequate to meet program objectives and identified priority needs.
- b. As a part of the annual needs identification and priority setting process, a training budget is to be developed based on projected activities and cost estimates as reflected in the annual training plan.
- c. The Departmental Employee Development and Training Division budgets for and administers Departmentwide, centrally sponsored training programs.

2. **DETERMINING THE SOURCE OF TRAINING.** Non-Government facilities may be selected for training only when it is determined that adequate training is not reasonably available from Government sources. The appropriate authorizing official will determine that adequate training is not reasonably available (FPM chapter 410, subchapter 6-2).

3. PAYMENT FOR TRAINING.

8. DOE supports just and equitable financial assistance for employee development and training including paying for any or all costs (within budgetary constraints) related to training outlined in FPM chapter 410, subchapter 6-3(d). In paying training expenses, priority should be given to:
 - (1) Training which is required for an employee to perform or more effectively perform current duties or anticipated future duties in the same position.
 - (2) Training that is required by law or regulation.
 - (3) Training required to provide for systematic replacement of skilled employees through official developmental programs.
- b. Authorizing officials are responsible for taking whatever steps are appropriate to assure that employees are not receiving duplicate payments from more than one source for training authorized at ODE expense (i.e., Veterans Administration educational benefits) and making adjustments, when necessary, to avoid duplicate payments for the same expense.

- c. The authorizing official shall determine whether to pay or reimburse an employee for necessary training. Whether the training is paid for in advance or the employee is reimbursed, the training must be approved and authorized by the appropriate officials before the employee enrolls, registers, and/or attends the training. The following fees and service costs relating to training may be paid:

- (1) Tuition and matriculation fees, except fees related to thesis research or preparation.
- (2) Library and laboratory services.
- (3) Purchase or rental of books, materials, and supplies.
- (4) Membership fees to the extent that the fees are necessary costs directly related to eligibility to enroll in the training itself, or that payment of the fee is a condition precedent to undertaking the training.

d. Direct and Indirect Training Costs.

- (1) Direct Costs. When training is provided by the Department and conducted by an employee, direct costs include books, supplies, and materials directly associated with the instance of training and cost factors related to the design, structure, and conduct of the training program. In the case of training acquired from external sources, direct costs may include the dollar amounts paid for tuition, laboratory or library fees, books, and other materials or supplies for each completed instance of training. Such costs include contracts to conduct training, text material, visual aids, classroom rental, miscellaneous class materials, and travel costs for instructors.
- (2) Indirect Costs. Expenses incidental to the training that are not incurred in the actual structuring and conducting of the program. Transportation and per diem costs necessary for participants to attend the program are major indirect costs.

4. PROGRAM FUNDS VERSUS TRAINING FUNDS. Training funds may be budgeted specifically for training purposes as part of administrative or program funds. The provisions of this Order and FPM chapter 410 apply regardless of the origin of the funds. In organizations having consolidated or centralized training budgets, program organizations are not authorized to train DOE employees with program funds without first obtaining advance approval from the appropriate authorizing official and the appropriate finance office. In any case, a specific dollar allocation should be identified and set aside to ensure that the identified and prioritized training needs are met.

5. TRAVEL AND PER DIEM.

- a. Official travel performed for the purpose of participating in authorized training or attending professional meetings and conferences for development and training is paid for the same as official travel performed for any other purpose. Travel and per diem, or actual subsistence expenses when justified, will be authorized and paid in accordance with the Federal Travel Regulations (FTR) and subchapter 1 of chapter 57, title 5, United States Code.
- b. The Employee Development and Training Division, Office of personnel, shall authorize all travel for employees selected to attend centrally sponsored training programs.
- c. Employees on extended training assignments (more than 30 days) may be authorized per diem payments exceeding 55 percent of the applicable maximum per diem rate only after documentation justifying the higher rate has been provided and accepted by approving and authorizing officials.

6. TIME AND ATTENDANCE.

- a. Time and Attendance Records will be maintained for employees authorized to participate in development and training activities such as seminars, professional conferences, or meetings while in pay status in the same manner and with the same security and control as for other employees.
- b. Computation of Time and Training. Time in training is to be computed in accordance with FPM chapter 410, subchapter 5-6.
- c. Prohibition of Premium Pay. Approving and authorizing officials have the responsibility of advising employees selected for training of the prohibitions regarding premium pay while being trained. Premium pay cannot be paid for time spent in training except under the following conditions:
 - (1) In instances described in FM chapter 410, section 6-2c:
 - (2) When a specific exception has been authorized by OPM; or
 - (3) When training is considered hours of work under the Fair Labor Standards Act (FLSA). (Training is considered hours of work under the FLSA when the training is to correct deficiencies in an employee's performance or to provide an employee with the knowledge or skills to perform new duties or responsibilities in his or her present position.)

d. Leave Status During Long-Term Training.

(1) **Time and Attendance Reporting.** An individual who is assigned to long-term training shall continue to be reported on the employee's regular time and attendance report in accordance with the requirements of time and attendance reporting.

(2) **Annual and Sick Leave.** Absence for personal reasons from scheduled classes and activities shall be charged to annual or sick leave, dependent on the reasons for the absence.

7. PAYMENT FOR PROFESSIONAL EXAMINATION FEES, CERTIFICATES, AND LICENSES.

- a. Fees assessed for employees to compete in professional certification examinations or for job-related certificates or licenses are the responsibility of the employee and not DOE. Such examinations and accreditation are personal to the holder and remain with them whether or not they remain in the employ of DOE.
- b. This does not preclude DOE from authorizing training funds to pay for job-related training that may, as a secondary benefit, assist an employee to maintain certification or accreditation. Training of this nature should be closely scrutinized to determine the appropriate roles and responsibilities of the parties.

8. TRAINING REQUESTS AND APPROVAL.

- a. Requests to attend DOE-sponsored training programs of 4 or more hours duration, if in-house or interagency, and training programs of any length at a non-Government facility, will be submitted to the organization's training officer or representative. Data from the request will be entered into the Department's Training Information System for electronic preparation of the DOE F 3410.4, "Request, Authorization, Agreement and Certification."
- b. The requests must be signed by the employee's immediate supervisor; then forwarded through normal supervisory channels to the individual designated to review and to establish training priorities for the office or organizational element involved; and finally to the authorizing official for determination of eligibility for training, compliance with appropriate policies and regulations, availability of funds, and registration of the individual once training is approved. As training generally requires that prior arrangements be made with the training facility, training data should be entered into the Departmental Training Information System as far in advance as possible, but no later than 2 weeks prior to the beginning date for the desired course or program.

- c. DOE F 3410.4 is not specifically required for on-the-job training, or training periods of less than 4 hours duration within the organization when no costs other than salary are involved.
9. NOTIFICATION OF ACTION. Employees will 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, do not obligate the Government for tuition and other course costs, or for the reimbursement of such costs.
10. COMPLETION OF COURSE. Upon completion of training courses provided at Government expense, employees are required to forward a copy of their grade notification or other evidence of satisfactory course completion, signed at the bottom by their immediate supervisor, to the servicing personnel office to be included in their official personnel folder. The minimal acceptable grade for satisfactory completion of academic courses is C at the undergraduate level and "B" at the graduate level.
- 110 INCOMPLETE OR UNSATISFACTORY TRAINING.
 - a. 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 containing full information as to the circumstances of the withdrawal must be submitted to the servicing personnel office. Except in a case where the supervisor has requested the employee to withdraw from training because of workload or for other reasons benefiting the organization rather than the employee, a determination will be made by the authorizing official, and the employee will be notified whether repayment of any direct costs incurred is required. An indication of employee withdrawal, whether voluntary or involuntary, must be entered into Departmental Training Information System.
 - b. Employees approved for academic courses will be required to register for credit. The Department will not pay for employees to enroll in a course on an audit basis. If they do not successfully complete undergraduate or graduate courses, they will be required to reimburse the Government for the tuition and related course costs incurred. Exceptions may be considered by the authorizing official upon receipt of written justification from the employee and supervisor concerned.
 - c. In all courses of 16 hours or more duration, where grades or other scores indicating successful completion of the courses are not given, an employee is required to attend at least 80 percent of the program or course sessions and satisfactorily complete course activities in order to be considered to have completed the program successfully.



CHAPTER V

AGREEMENTS TO CONTINUE IN SERVICE

1. AGREEMENTS TO CONTINUE IN SERVICE AFTER TRAINING. A **continued service agreement** shall be required for **all training** which meets the following criteria:

- a. **Non-Government training that exceeds 80 hours (2 weeks) in a single program during which an employee receives salary from DOE as well as some or all of the additional expenses incurred in the training. Additional expenses are defined as any contribution or expense paid by WE in connection with the training except salary or pay. Training hours are to be computed per FPM chapter 410, subchapter 5-6.**
- b. **Non-Government training, regardless of course length, where the cost of training, excluding the employee's transportation, per diem, and salary, exceeds \$1,000 for a specific individual program or course.**
- c. **Any case where the approving and authorizing officials agree that a continued service agreement would be appropriate.**

2. PROCEDURES FOR EXECUTING AGREEMENT. The trainee shall sign the continued service agreement on the reverse side of the first page of DOE F 3410.4 indicating that the trainee has read and understands the provisions of the agreement. A single agreement will cover one or more phases of training when such phases cover an unbroken period. A copy of the agreement will be provided the employee and appropriate finance office.

3. PERIOD OF OBLIGATED SERVICE.

- a. The agreement obligates the employee to remain with DOE for the period of training plus a post-training period equal to three times the length of the training.
- b. When DOE pays some or all of the additional expenses incurred in an employee's training, but the employee receives no pay while in training, the period of obligation may be reduced with the approval of the Director of Personnel.
- c. The obligated period of post-training service begins on the first workday after the training is completed. It includes all workdays thereafter in which the employee is in pay status, except that credit for this purpose is limited to 5 days (40 hours) per calendar week.

- d. When the time in training is a number of days plus a fraction of a day, the total time shall be computed to the next higher day.
- e. Time spent in subsequent training programs may be applied towards satisfying previous inservice agreement obligations.
- f. Time spent in a nonpay status is not countable toward completion of the inservice agreement obligation unless it is at the convenience of the Department.

4. GUIDELINES FOR ADMINISTERING AGREEMENTS

- a. Involuntary Separations. The agreement will 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 will be considered an involuntary separation, provided that the reason for the separation is not misconduct or personal delinquency as indicated above.
- b. Orders to Military Service. Orders to report for military service (other than training duty) will 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 commitments) if he or she wishes to secure a waiver of this post-training service obligation.
- 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 will 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 Government Agency. When DOE receives a request for transfer from an employee subject to a continued service agreement, it will notify the gaining agency that the employee is still subject to a continued service agreement. If DOE determines that the training received will be utilized in the new position, the agreement is transferred to the gaining agency. The gaining agency must then assure that the agreement is fulfilled. If DOE determines that the training received will not be utilized in the new position, it must notify the employee in writing before the effective date of the transfer that it intends to recover the additional expenses.

- e. Liability in Voluntary Separation. When an employee voluntarily leaves the 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 except as set forth in paragraphs 4b and c of this chapter.
 - f. Method of Collection. Collection will be made by withholding the actual amount of additional expenses from any monies due the employee from DOE or by other procedures consistent with collection methods provided by statute or regulations. The appropriate finance office will collect the amount due.
 - g. Amount of Additional Expenses to Repay The Government's right of recovery will be enforced for a percentage of additional expenses proportionate to the training agreement not completed unless there is a waiver action.
 - h. Request for Waiver. Employees with obligated service who leave the Department and are notified by the Department that it intends to seek recovery instead of transferring obligation must be advised by their supervisors of their right to request reconsideration of the amount to be recovered or a waiver of the Government's right to recover and that their requests must be made in writing to the appropriate approving officials through the servicing personnel office before the effective date of separation from the Department. They also must be advised to state the grounds on which they believe the determination to reconsider or waive recovery rights should be based. Employees must have the opportunity to respond to the Department's findings before the Department is able to recover the appropriate amount of training expenses.
5. ENTRY IN PERSONNEL RECORDS. If any agreement is violated and a waiver is not granted, a statement to that effect will be placed in the employee's official personnel folder. This statement will confirm that an unfulfilled agreement exists, will specify the amount of the unexpired term of the agreement, and will note the amount of money due the Government. A copy of the notice received under paragraph 4h must also be included in the official personnel folder.



CHAPTER VI

TRAINING FORM, RECORDS, AND REPORTS

1. TRAINING FORMS AND RECORDS.

a. Forms. The following forms are prescribed for use in DOE employee development and training programs:

- (1) ODE F 3410.4, "Request, Authorization, Agreement, and Certification of Training."
- (2) OPM Form 1306. a training report on employees receiving more than 120 days of training under 5, U.S.C., section 4103 by, in, or through a non-Government facility during a fiscal year.

b. Records. The computerized Departmental Training Information System shall be utilized to create, maintain, and produce records.

- (1) Training data shall be electronically entered in the Departmental Training Information System through the preparation of individual training forms, ODE F 3410.4, and stored for the production of desired records.
- (2) Training officers or their representatives are responsible for accurate and complete data entries, training status updates (evaluation received, actual costs, and college pass/fail), and the review of produced records to ensure validity.
- (3) Records of training expenses must be maintained, and shall cover the payments made by DOE for travel, tuition, fees, and other necessary expenses of training by, in, or through Government and non-Government facilities. Normally these records can be developed from data in the Departmental Training Information System. This data will also be used to prepare that portion of the annual report relating to expenditures for training.
- (4) Each servicing personnel office shall keep on file a copy of any formalized individual employee's or any organization's development plans.

c. Individual Training Records.

- (1) Documentation of successful completion of Government training of 4 hours or more, any instance of completed non-Government training, and training completed to meet statutory or ODE requirements regardless

of length or source must be filed in the employee's Official personnel folder. The documentation may be a Copy of DOE F 3410.4, a copy of the certificate of training, or an authorized Departmental Training Information System record.

- (2) Employees should review their training records at least annually. Servicing personnel or training offices shall make individual training records available upon request. Information concerning course work or training activities otherwise funded may be added to the training record at the request of the employee and the presentation of evidence of training completion.

2. REPORTS.

a. Reports from Employees and Supervisors on Training. Upon completing a training assignment, the employee and supervisor shall complete the Termination and Evaluation Data sheet, sections H and I of DOE F 3410.4 or authorized substitute evaluation form, and submit the completed form to their servicing training officer. Evaluation should be completed no later than 15 days following completion of training and appropriate entry indicating satisfactory completion of training made into the Departmental Training Information System.

b. Annual Reports on Employee Development and Training. Each Departmental Element shall report on activities as follows:

- (1) Training data not maintained in the Departmental Training Information System as required by the Director of Personnel based on the requirements of the Office of Personnel Management for the particular fiscal year. The Director of Personnel shall submit a consolidated report annually to the Office of Personnel Management, based on the above, and in accordance with FPM chapter 410, subchapter 9.
- (2) Information on the number of employees failing to fulfill their obligations under continued service agreements and a brief description of the action taken on the recovery of the additional expenses incurred by the Government for their training.
- (3) Any waivers relative to use of non-Government training facilities or inservice agreements.

3. CERTIFICATES OF TRAINING. A Certificate of Training should be issued to each employee who successfully completes a DOE training course of 4 hours or more. "successful completion" is defined as fulfillment of attendance, work, and all testing requirements established for the course or program.

U.S. Department of Energy
Washington, D.C.

ORDER

DOE 3410.1B

2-29-88

SUBJECT: TRAINING

Change 1: 10-18-89

1. PURPOSE. To prescribe policy, assign responsibilities, and provide guidance **and instructions** for establishing, **maintaining**, monitoring, and evaluating Department of Energy (DOE) employee development and training programs and activities.
2. CANCELLATION. DOE 341 **U.1A**, TRAINING, of 5-4-83.
3. APPLICABILITY. Provisions of this Order apply to all civilian employees except persons appointed by the President.
4. REFERENCES.
 - a. DOE 3735.1, DISSEMINATION OF THE **DEPARTMENTAL CONDUCT OF EMPLOYEES REGULATIONS**, of 5-1-80, which prescribes standards for all employees.
 - b. Federal Personnel **Manual (FPM)**, chapter 410, which contains policy, basic **requirements**, and guidance relating to the training of **Federal** employees.
 - c. **Title 5**, United States Code (U. **S.C.**), section 4103, which provides authority for agencies to establish, operate, and maintain training **programs**.
 - d. **Title 26** U.S. C. **501**, which **establishes** criteria for employees **receiving** contributions, awards, and other payments from non-Government **organizations**.
 - e. Civil Service Reform Act (**CSRA**), which **establishes** authority to retrain employees for positions in other agencies to avoid separations during reductions in **force**.
 - f. Executive order **11348**, which expands authority to train Government **employees**.
 - ~* **Executive Order 11478**, which provides that equal opportunity be an **integral part of every aspect** of personnel policy and practice in the **employment**, development, and advancement of civilian employees of the Federal **Government**.

DISTRIBUTION:

All Departmental Elements

Vertical line denotes change.

INITIATED BY:

Office Of Personnel and
Career Development

5. DEFINITIONS.

- a. Approving Official. Secretarial Officers, Heads of Field Elements, and any other person to whom authority has been delegated to approve training assignments. Approvals are subject to authorization *in* accordance with paragraph b.
- b. Authorizing Official. Heads of Field Elements, the Director of Personnel and Career **Development** for all Headquarters Elements (except the Office of the Inspector General **(IG-1)**, Executive Director **(IG-10)**, and any person to whom they have delegated **their** authority to **authorize training** assignments upon *assurance* that the contemplated **expenses** are necessary, proper funds are available, and that related legal **and** administrative requirements are met.
- c. Supervisor. An individual who has authority in the **interest** of the **Department** to hire, direct, assign, or reward, transfer, furlough, lay-off, recall, suspend, discipline, or remove employees, to **adjust their** grievances, or to effectively recommend such action if the exercise of the authority is not merely routine or clerical in nature but requires the consistent exercise of independent judgment. Typically, a supervisor **is** responsible for the **direction** of a staff of three or more employees.
- d. Manager. An individual in a position which requires the incumbent to **(1) direct** the work of an organization; (2) be held accountable for the success of specific line or staff programs, projects, functions, or activities; (3) monitor the progress of the organization toward goals and periodically evaluate and **make** appropriate adjustments; and (4) perform a full range of managerial duties and responsibilities. Typically, a manager is in the **GM-13** to **GM-15** grade range or above and directs a subordinate supervisory staff.

6. POLICY.

- a. **It is DOE** policy that all employees be provided with opportunities to improve their **knowledge, skills, and** abilities to enable them to perform effectively tasks assigned and to be assigned. Within the constraints of available resources, opportunities also **will** be provided to prepare employees for advancement in accordance with specifically defined and approved training needs which arise or **are** anticipated in carrying out the **DOE** mission.

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CHAPTER 1

RESPONSIBILITIES AND AUTHORITIES

1. ASSISTANT SECRETARY, MANAGEMENT AND ADMINISTRATION, shall 1:

- a. Oversee the development of training policies and their implementation.
- b. Concur in requests to the Office of Personnel Management to train Presidential appointees.

2. DEPUTY ASSISTANT SECRETARY FOR PROCUREMENT AND HUMAN RESOURCE MANAGEMENT, shall:

- a. Assure that training policies and programs meet the developmental needs of the Department.
- b. Assist the Assistant Secretary, Management and Administration, in planning and guiding the continued development of executive manpower resources, and in carrying out approved development plans and actions of the Executive Personnel Board.
- c. Keep the Assistant Secretary, Management and Administration, informed of the current status of employee training and development in the Department and its impact on mission accomplishment.
- d. Approve any full-time training where tuition and fees exceed \$3,000 for a single program for a single employee.
- e. Authorize, subject to the concurrence of the Assistant Secretary for International Affairs, requests for foreign training assignment or attendance at international conferences for training purposes.

3. DIRECTOR OF PERSONNEL AND CAREER DEVELOPMENT shall 1 :

- a. Serve as DOE liaison with the Office of Personnel Management on training matters.
- b. Develop and promulgate Departmentwide policies, standards, procedures, guidelines, and records and reporting requirements concerning employee development and training.
- c. Provide advice, guidance, information, and staff assistance regarding employee development and training to DOE organizations, managers, supervisors, and employees.

Vertical line denotes change.

- d. **Develop** and administer **Departmentwide** training programs responsive to DOE requirements.
- e. Review utilization of authority to waive statutory limitations on use of non-Government facility training to ensure compliance with staff-year limitation restriction as prescribed by **FPM** chapter 4111, subchapter 5-5.
- f. Recommend waiver of the **1-year-in-10** restriction to use **non-Government** training facilities. (See page **II-1**, paragraph **2b**.)
- g. When necessary, enter into agreements with other Government agencies to use their training programs and facilities and to extend to other agencies the programs and facilities of DOE.
- h. Establish a system to identify those employees with potential for positions of supervisory, managerial, and executive level responsibilities and provide support in developing, implementing, and evaluating supportive career development programs. Such programs shall be subject to competitive procedures as appropriate.
- i. Audit and evaluate training conducted by component organizations throughout DOE focusing especially on needs assessment, relevancy of training and training evaluation.
- j. Assure fair and equitable treatment of employees and reasonably uniform administration of employee development and training.

4. APPROVING OFFICIALS shall:

- a. Identify short- and long-term development and training needs of their organizations and employees, and formulate annually a formal plan to meet such needs.
- b. Consistent with the criteria in Chapter V, determine whether it is in the Government's interest to waive, in whole or in part, any right to recover, under a continued service agreement, the additional expenses for training.
- c. Recommend to the Deputy Assistant Secretary for Procurement and Human Resource Management assignment of employees for training by, in, or through non-Government facilities outside the United States and training facilities of foreign governments, international organizations, or their instrumentalities.
- d. Provide appropriate management, technical, and general training when not provided centrally.
- e. Evaluate all training sponsored and/or administered by their organization.

Vertical line denotes change.

CHAPTER 11

LATITUDE AND RESTRICTIONS

1. LATITUDE TO TRAIN AND DEVELOP EMPLOYEES. Training may be full time or part time, on or off duty, day or evening, or any necessary combination. It may be given by DOE, another Government agency or, subject to certain statutory limitations, by a non-Government facility, an educational institution, or by other competent individuals or groups in or out of Government. It may be accomplished through correspondence, classroom work, conferences, workshops, supervised practice, or other methods or combinations.
2. PROHIBITIONS AND RESTRICTIONS ON USE OF NON-GOVERNMENT TRAINING FACILITIES.
 - a. one-Year Service Requirement. Normally, an employee having less than year current, continuous civilian service in the Government shall not be provided non-Government training unless a waiver is granted by the appropriate authorizing official after determining that such training is in the public interest. Exceptions to this limitation and waiver requirement are training which:
 - (1) Does not exceed 40 hours of classroom training in a single program during the employee's first year of current, continuous civilian service;
 - (2) Is provided by a manufacturer as part of a normal service incident to initial purchase or lease of equipment by the Government;
 - (3) Is provided through correspondence courses;
 - (4) Requires no tuition, fee, or charge other than salary expenses; or
 - (5) Is an integral part of a formal, entry-level development program.
 - b. One-Year-in-Ten. In the first 10 years of total civilian service following the date of the employee's entry into Government service, and in each such 10-year period of service thereafter, the total length of non-Government training provided to each employee shall not exceed 1 year. Training time not used during any 10-year period may not be carried over for use during succeeding 10-year periods.
 - (1) Requests for waivers of the 1-year-in-10 limitation for periods of training not to exceed 2 years must be submitted to the Director of Personnel and Career Development through the Employee Development and Training Division. A recommendation will be made to the Secretary or

Vertical line denotes change.

the Office of Personnel Management, as appropriate, whether the waiver should be granted. The conditions under which a waiver may be granted are provided in FPM chapter 410, subchapter 5-5.

(2) The periods of training indicated on page II-1, paragraphs 2a(1)-(3), do not have to be counted against the 1-year limitation.

- c. One Percent Limitation. The **total** staff years of **non-Government** training provided by the Department in any fiscal year shall not exceed 1 percent of the total number of staff years of civilian **employment** for the Department in the same fiscal year. This limitation applies within each organizational **element** and adequate controls must be maintained to ensure that it is not exceeded. Requests to exceed this limitation **shall** be addressed to the Director of Personnel and Career Development.
- d. Academic Degrees. **Non-Government** training cannot be provided for an employee solely for the purpose of obtaining an academic degree or degrees. This does not preclude providing training in a degree granting institution, nor does it prohibit an employee from earning and accepting credit toward a degree. Employees may receive academic degrees as an incidental by-product of non-Government training sponsored by the Department.
- e. Promotion Qualification. **Non-Government** training solely to prepare an employee to ~~fill~~ a position by promotion shall not be provided if there is another employee in the local area of equal ability and suitability who is fully qualified to fill the available **position**.
- f. Review of Need for Training. Before **non-Government** training which is more than 120 hours in a single program or is used to prepare an employee for a different occupational series **is** authorized, a determination must be made by the appropriate approving official that the functions for which the training would be needed cannot be assumed by other employees.

3. EQUAL OPPORTUNITY.

- a. In accordance with DOE'S commitment to equal opportunity, it will establish and support development and training programs and opportunities that provide knowledge and skills to assist employees to advance and to perform at their highest potential considering all training priorities and available resources.
- b. Managers and supervisors shall assure fair and equitable treatment in the selection and **assignment** of employees for training. In providing development and training opportunities for **employees**, there shall be no discrimination because of sex, race, religion, **color**, national origin, age, physical, mental or emotional handicap, or other factors unrelated to the need for training.

Vertical line denotes change

- e. The criteria for attendance at the DOE supervisory development program is " as follows:
- (1) **First Priority** - New supervisors serving a probationary period.
 - (2) **Second Priority** - Supervisors who were not required to complete or who have completed a probationary period but have not **had** equivalent supervisory training.
 - (3) **Third Priority** - **Supervisors** who have not had supervisory training in the last 5 years.
 - (4) **Fourth Priority** **Nonsupervisory** employees on a case-by-case basis **as justified** under special circumstances. Written **justification must** be approved **by** the Employee Development and Training Division before an employee can **be** scheduled to attend.
- f. The **content** of the **80-hour** supervisory program is to be determined **by the** Employee Development and Training Division in consultation with managers and personnel and training officers. Delivery will be accomplished through appropriate field **components** and the Employee Development and Training Division. A written justification for attendance at courses other than those administered and/or conducted by DOE staff to meet the **80-hour** requirement must be provided and approved by the appropriate authorizing official. Development of local programs to meet the **80-hour** requirement must be approved by the Employee Development and Training Division.
- g. Supervisors who successfully **complete** their probationary period and the **80** hours of required training should continue to enhance their supervisory skills and prepare themselves for increasing management responsibilities through participation in various specialized formal training courses at least every 2 years and in other developmental activities, e.g., rotational assignments and special projects designed to address their specific needs.
- h. Managers serving a probationary period **are** to attend the **40-hour** Management Development **Seminar** sponsored by the Department or certify, subject to concurrence by the training officer **and** approval by the authorizing official, the completion of equivalent training. The criteria for attendance at the DOE management development program follows the same sequence as paragraph **10e** above, does for supervisors.
- i. **Managers** who successfully **complete** their probationary period should continue to improve their managerial effectiveness through developmental experiences and training which focus **on** mastering identified **managerial** and executive **competencies**.

- j. Satisfactory **completion** of required supervisory and/or management training is one of the factors considered by reviewing officials in determining whether newly appointed managers or supervisors have received a full and fair trial as a probationary employee and are ready to be permanently assigned to a supervisory or managerial position. Timely attendance at required training is critical.
- k. Headquarters and field personnel offices should **develop a system** for tracking probationary supervisors and managers and **scheduling** them for appropriate training within required timeframes.

11. EVALUATION OF TRAINING.

- a. Just as training is an integral part of every supervisor's and manager's responsibility, periodic evaluation of training policies and programs to **determine** if objectives are being **met** and resources utilized effectively are **also a management** responsibility. Accordingly, approving officials are charged with the responsibility to evaluate periodically the **effectiveness of their training policies and programs**. At a minimum, the evaluation must address the following issues:
- (1) Do the operational training policies and procedures assist managers in carrying out their responsibilities and, if not, what changes are recommended?
 - (2) Does the organization have an effective system for determining training needs and establishing training priorities?
 - (3) Is each training incident evaluated to assure training objectives were met?
 - (4) Are Departmental and Office **of Personnel Management** training regulations and directives being followed?
 - (5) Are accurate data which reflect training costs, numbers of training instances, and types of training available to assist in managing the program?
- b. Records shall **be** kept to show the methods of analysis, findings, and recommendations as a basis for planning employee development and training activities.
- c. In addition to the internal or self-evaluation described above, both the Office of Personnel and Career **Development** and the Office of Personnel Management periodically will conduct **indepth** reviews of development and training activities and programs seeking to improve the overall effectiveness of employee development and training in **DOE**.

Vertical line denotes change.

5. TRAVEL AND PER DIEM.

- a. **Official** travel performed for the purpose of participating in authorized training or attending professional meetings and conferences for development and training is paid for the same as official travel performed for any other purpose. Travel and per diem, or actual subsistence expenses when justified, **will** be authorized and paid in accordance with the Federal Travel Regulations (**FTR**) and subchapter 1 of chapter 57, title 5, United **States** Code.
- b. The Employee Development and Training Division, Office of Personnel and Career **Development** shall authorize all travel for employees selected to attend centrally sponsored training programs.
- c. Employees on extended training **assignments (more than 30 days)** may be authorized per diem payments **exceeding** 55 percent of the **applicable maximum** per diem rate **only** after documentation justifying the higher rate has been provided and accepted **by** approving and authorizing officials.

6. TIME AND ATTENDANCE.

- a. Time and Attendance Records will be maintained for employees authorized to participate in **development** and training activities such as seminars professional conferences; or meetings **while** in pay status in the same manner **and** with the **same** security and control as for other employees.
- b. Computation of Time and Training. Time in training is to be computed in accordance with **FPM** chapter 410, subchapter 5-6.
- c. Prohibition of Premium Pay. Approving and authorizing officials have the responsibility of advising employees selected for training of the prohibitions regarding premium pay while being trained. Premium pay cannot **be** paid for time spent in training except **under** the following conditions:
 - (1) In instances described in **FPM chapter 410**, section **6-2c**:
 - (2) **When** a specific exception has been authorized by **OPM**; or
 - (3) **When training** is considered hours of work under the Fair Labor Standards Act (**FLSA**). (Training is considered hours **of** work under **the FLSA** when the training is to correct deficiencies **in** an **employee's** performance or to provide an employee with the knowledge or **skills** to **perform** new duties or responsibilities in his or her present position.)

Vertical line denotes change.

d. Leave Status During Long-Term Training.

- (1) Time and Attendance Reporting. An individual who is assigned to long-term training shall continue to be reported on the employee's regular time and attendance report in accordance with the requirements of time and attendance reporting.
- (2) Annual and Sick Leave. Absence for personal reasons from scheduled classes and activities shall be charged to annual or sick leave, dependent on the reasons for the absence.

7. PAYMENT FOR PROFESSIONAL EXAMINATION FEES, CERTIFICATES, AND LICENSES.

- a. Fees assessed for employees to compete in professional certification examinations or for job-related certificates or licenses are the responsibility of the employee and not DOE. Such examinations and accreditation are personal to the holder and remain with them whether or not they remain in the employ of DOE.
- b. This does not preclude DOE from authorizing training funds to pay for job-related training that may, as a secondary benefit, assist an employee to maintain certification or accreditation. Training of this nature should be closely scrutinized to determine the appropriate roles and responsibilities of the parties.

8. TRAINING REQUESTS AND APPROVAL.

- a. Requests to attend DOE-sponsored training programs of 4 or more hours duration, if in-house or interagency, and training programs of any length at a non-Government facility, will be submitted to the organization's training officer or representative. Data from the request will be entered into the Department's Training Information System for electronic preparation of the DOE F 3410.4, 'Request, Authorization, Agreement and Certification.'
- b. The requests must be signed by the employee's immediate supervisor; then forwarded through normal supervisory channels to the individual designated to review and to establish training priorities for the office or organizational element involved; and finally to the authorizing official for determination of eligibility for training, compliance with appropriate policies and regulations, availability of funds, and registration of the individual once training is approved. As training generally requires that prior arrangements be made with the training facility, training data should be entered into the Departmental Training Information System as far in advance as possible, but no later than 2 weeks prior to the beginning date for the desired course or program.

CHAPTER V

AGREEMENTS TO CONTINUE IN SERVICE

1. AGREEMENTS TO CONTINUE IN SERVICE AFTER TRAINING. A continued service agreement shall be required for all training **which** meets the following criteria:
 - a. **Non-Government** training that exceeds 80 hours (2 weeks) in a single program during which an employee receives salary from DOE as well as some or all of the additional expenses incurred in the training. Additional expenses are defined **as** any contribution or expense **paid** by DOE in connection with the training except salary or pay. Training hours are to be computed **per FPM** chapter **410**, subchapter 5-6.
 - b. **Non-Government** training, regardless of course length, where **the cost** of training, excluding the employee's transportation, per diem, and salary, exceeds **\$1,000** for a specific individual program or course.
 - c. Any **case** where the approving and authorizing officials agree **that** a continued service agreement-would be appropriate.
2. PROCEDURES FOR EXECUTING AGREEMENT. The trainee shall sign the continued service agreement on the reverse side of the first page of DOE F 3410.4 indicating that the trainee has read and understands the provisions of the **agreement**. A single agreement will cover one or more phases **of** training when such phases cover an unbroken period. A copy of the agreement will be provided **the** employee and appropriate finance **office**.
3. PERIOD OF ORLIGATED SERVICE.
 - a. The agreement obligates the employee to remain with DOE for the period of training plus a post-training **period** equal to three times the length of the **training**.
 - b. When DOE pays some **or** all of the additional expenses incurred in an employee's training, but the employee receives no pay while in training, the period of obligation may be reduced with the approval of the Director of Personnel and Career Development.
 - c. The obligated period of post-training service begins on the first workday after the training is completed. It includes all workdays thereafter in which the employee is in pay status, except that credit for this purpose is limited to 5 days (40 hours) per calendar week.

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- d. When the time in training is a number of **days** plus a fraction of a day, **the total time** shall be computed to the next higher **day**.
- e. Time spent in subsequent **training** programs **may** be applied towards satisfying previous **inservice** agreement obligations.
- f. Time spent in a **nonpay** status is not countable toward completion of the **inservice** agreement obligation unless it is at the convenience of the Department.

4. GUIDELINES FOR ADMINISTERING AGREEMENTS.

- a. Involuntary Separations. The agreement will 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 will be considered an involuntary separation, provided that **the** reason for the separation is not misconduct or personal delinquency as indicated above.
- b. Orders to Military Service. Orders to report for military service (other than training duty) will 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 this post-training service obligation.
- 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 **will** 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 Government Agency. When **DOE** receives **a** request for transfer from an employee subject to a continued service **agreement**, it **will** notify the gaining agency that the employee is still subject to a continued service agreement. If DOE **determines** that **the** training received will be utilized in the **new** position, the agreement is transferred to the gaining agency. The gaining agency must then assure that the agreement is fulfilled. If **DOE** determines that the training received will not be utilized in the **new** position, it must notify the employee in writing before the effective date of the transfer that it intends to recover the additional expenses.

CHAPTER VI

TRAINING FORMS, RECORDS, AND REPORTS

1. TRAINING FORMS AND RECORDS.

a. Forms. The following **forms** are prescribed for use in DOE employee **development** and training programs:

- (1) DOE F 3410.4, 'Request, Authorization, Agreement, and Certification of Training.'
- (2) OPM Form 1306, a training report on employees receiving more than 120 days of training under 5, U.S.C., section 4103 by, in, or through a non-Government facility during a fiscal year.

b. Records. The computerized **Departmental** Training Information System shall be utilized to create, maintain, and produce records.

- (1) Training **data** shall be **electronically** entered in the Departmental Training Information **System** through the preparation of individual training forms, DOE F 3410.4, and stored for the production of desired records.
- (2) Training officers or their representatives are responsible for accurate and **complete** data entries, training status updates (evaluation received, actual costs, and college pass/fail), and the review of produced records to ensure validity.
- (3) Records of training expenses must be maintained, and **shall** cover the **payments** made by DOE for travel, tuition, fees, and other necessary expenses of training by, in, or through **Government** and **non-Government** facilities. Normally these records can be developed from data in the Departmental Training Information System. This data will also be used to prepare that portion of the annual report relating to expenditures for training.
- (4) Each servicing personnel office **shall** keep on file a **copy** of any formalized individual employee's or any organization's development plans.

c. Individual Training Records.

- (1) Documentation of successful **completion** of **Government** training of 4 hours or more, any instance of completed non-Government training, and training **completed** to meet statutory or DOE requirements regardless

of length or source must be filed in the employee's official **personnel** folder. The documentation may be a copy of DOE F 3410.4, a copy of the certificate of training, or an authorized Departmental Training Information System record.

- (2) Employees should review their training records at least annually. Servicing personnel or training offices shall make individual training records available upon request. Information concerning course work or training activities otherwise funded may be added to the training record at the request of the employee and the presentation of evidence of training completion.

2. REPORTS.

- a. Reports from Employees and Supervisors on Training. Upon **completing** a training assignment, the employee and supervisor shall **complete** the Termination and Evaluation Data sheet, sections H and I of DOE F 3410.4 or authorized substitute evaluation form, and submit the completed form to their servicing training officer. Evaluation should be **completed** no later than 15 days following completion of training and appropriate entry indicating satisfactory **completion** of training made into the Departmental Training Information System.
- b. Annual Reports on Employee Development and Training. Each Departmental **Element** shall report on activities as follows:
- (1) Training data not maintained in the Departmental Training Information System as required by the Director of Personnel and Career Development based on the requirements of the Office of Personnel Management for the particular fiscal year. The Director of Personnel and Career Development shall **submit a** consolidated report annually to the Office of Personnel **Management**, based on the above, and in accordance with FPM chapter 410, subchapter 9.
 - (2) Information on the number of employees failing to fulfill their obligations under continued service agreements and a brief description of the action taken on **the** recovery of the additional expenses incurred **by** the Government **for** their training.
 - (3) Any waivers relative to use of **non-Government** training facilities or **inservice** agreements.
3. CERTIFICATES OF TRAINING. A Certificate of Training should be issued to each employee who successfully completes a DOE training course of 4 hours or more. "Successful completion" is defined as fulfillment of attendance, work, and all testing **requirements** established for the course or program.

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U.S. Department of Energy
Washington, D.C.

PAGE CHANGE

DOE 3410.1B Chg 1

10-18-89

SUBJECT: TRAINING

1. PURPOSE. To transmit revised pages to DOE 341 **0.1B**, TRAINING, of 2-29-88.
2. EXPLANATION OF CHANGE. Revision of Order to reflect organizational title changes.
3. FILING INSTRUCTIONS.

a. <u>Remove Page</u>	<u>Dated</u>	<u>Insert Page</u>	<u>Dated</u>
1 and 2	2-29-88	1 and 2	10-18-89
i	2-29-88	i	10-18-89
ii	2-29-88	ii	2-29-88
I-1 and I-2	2-29-88	I-1 and I-2	10-18-89
II-1 and II-2	2-29-88	II-1 and II-2	10-18-89
III I-7	2-29-88	III I-7	2-19-88
III-8	2-29-88	III I-8	10-18-89
IV-3	2-29-88	IV-3	10-18-89
IV-4	2-29-88	IV-4	2-29-88
V-1	2-29-88	V-1	10-18-89
V-2	2-29-88	V-2	2-29-88
VI-1	2-29-88	VI-1	2-29-88
VI-2	2-29-88	VI-2	10-18-89

- b. After **filing** the attached pages, this transmittal may be discarded.

BY ORDER OF THE SECRETARY OF ENERGY:



DONNA R. FITZPATRICK
Assistant Secretary
Management and Administration

DISTRIBUTION:
All Departmental Elements

INITIATED BY:
of ffice of Personnel and
Career Development



U.S. Department of Energy
Washington, D.C.

PAGE CHANGE

DOE 3410.1B Chg 2

5-18-92

SUBJECT: TRAINING

1. PURPOSE. To transmit revised pages to DOE 3410.1B, TRAINING, of 2-29-88.
2. EXPLANATION OF CHANGE. To make organizational title and routing symbol editorial revisions to incorporate changes required by **SEN-6**; to increase the \$3,000 limit on delegation of training authorizations to \$10,000 (see page **I-1**, paragraph **2d**); and to add the requirement for Heads of Departmental Elements to annually report any waivers to use non-Government facilities or for **inservice** agreements and training costing **above** \$3,000 (see page **VI-2**, paragraph **2b(3)**). No other substantive changes have been made.
3. FILING INSTRUCTIONS.

a. <u>Remove Page</u>	<u>Dated</u>	<u>Insert Page</u>	<u>Dated</u>
1	2-29-88	1 Chg 2	5-18-92
2	10-18-89	2	5-18-92
3 (and 4)	2-29-88	3 (and 4)	5-18-92
i	10-18-89	i	5-18-92
ii	2-29-88	ii	2-29-88
I-1 and I-2	10-18-89	I-1 and I-2	5-18-92
I-3 and I-4	2-29-88	I-3 and I-4	5-18-92
II-1 and II-2	10-18-89	II-1 and II-2	5-18-92
III-7	2-29-88	III-7	2-29-88
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IV-3	10-18-89	IV-3	5-18-92
IV-4	2-29-88	IV-4	2-29-88
V-1	10-18-89	V-1	5-18-92
V-2	2-29-88	V-2	2-29-88
VI-1	2-29-88	VI-1	2-29-88
VI-2	10-18-89	VI-2	5-18-92

b. After filing the attached pages, this transmittal may be discarded.

BY ORDER OF THE SECRETARY OF ENERGY:



DONALD W. PEARMAN, JR.
Acting Director
Administration and Human
Resource Management

DISTRIBUTION:
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Office of Professional and Technical
Training and Development



10-11-12



10-11-12



U.S. Department of Energy
Washington, D.C.

ORDER

DOE 3410. 1B

2-29-88

Change 1: 10-18-89

Change 2: 5-18-92

SUBJECT: TRAINING

1. **PURPOSE.** To prescribe policy, assign responsibilities, and provide guidance and instructions for establishing, maintaining, monitoring, and evaluating Department of Energy (DOE) employee development and training programs and activities.
2. **CANCELLATION.** DOE 3410. 1A, TRAINING, OF 5-4-83.
3. **APPLICABILITY.** Provisions of this Order apply to **all** civilian employees except persons appointed by the President.
4. **REFERENCES.**
 - a. DOE 3735.1, DISSEMINATION OF THE DEPARTMENTAL CONDUCT OF EMPLOYEES REGULATIONS, of 5-1-80, which prescribes standards for all employees.
 - b. Federal Personnel Manual (**FPM**), chapter 410, which contains policy, basic requirements, and guidance relating to the training of Federal employees.
 - c. Title 5, United States Code (**U.S.C.**), section 4103, which provides authority for agencies to establish; operate, and **maintain** training programs.
 - d. Title 26, **U.S.C.** 501, which establishes criteria for employees receiving contributions, awards, and other payments from non-Government organization.
 - e. Civil Service Reform Act (**CSRA**), which establishes authority to retrain employees for positions in other agencies to avoid separations during reductions in force.
 - f. Executive Order 11348, which expands authority to train Government employees.
 - g. Executive Order 11478, which provides that equal opportunity be an integral part of every aspect of personnel policy and practice in the employment, development, and advancement of civilian employees of the Federal Government.

DISTRIBUTION:
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Office of Professional and Technical
Training and Development

5. DEFINITIONS.

- a. Approving Official. Secretarial Officers, Heads of Field Elements, and any other person to whom authority has been delegated to approve training assignments. Approvals are subject to authorization in accordance with paragraph b.
- b. Authorizing Official. Heads of Field Elements, the Director of Professional and Technical Training and Development for all Headquarters Elements (except the Office of the Inspector General (IG-1), Executive Director (IG-10)), and any person to whom they have delegated their authority to authorize training assignments upon assurance that the contemplated expenses are necessary, proper funds are available, and that related legal and administrative requirements are met.
- c. Supervisor. An individual who has authority in the interest of the Department to hire, direct, assign, or reward, transfer, furlough, lay-off, recall, suspend, discipline, or remove employees, to adjust their grievances, or to effectively recommend such action if the exercise of the authority is not merely routine or clerical in nature but requires the consistent exercise of independent judgment. Typically, a supervisor is responsible for the direction of a staff of three or more employees.
- d. Manager. An individual in a position that requires the incumbent to (1) direct the work of an organization; (2) be held accountable for the success of specific line or staff programs, projects, functions, or activities; (3) monitor the progress of the organization toward goals and periodically evaluate and make appropriate adjustments; and (4) perform a full range of managerial duties and responsibilities. Typically, a manager is in the GM-13 to GM-15 grade range or above and directs a subordinate supervisory staff.

6. POLICY.

- a. It is DOE policy that all employees be provided with opportunities to improve their knowledge, skills, and abilities to enable them to perform effectively tasks assigned and to be assigned. Within the constraints of available resources, opportunities **also will** be provided to prepare employees for advancement in accordance with specifically defined and approved training needs that arise or are anticipated in carrying out the DOE mission.

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- b. The overall objective of employee development and training is to foster the development of an efficient and effective work force, and in turn further DOE's mission accomplishment. DOE recognizes that training is a necessary and inseparable function of management and, therefore, supports maximum flexibility to encourage managers to design and implement cost-effective training programs in ways which best fit the special needs of DOE programs.
- c. All employees will receive fair and equitable consideration for training opportunities without regard to race, color, national origin, religion, age, sex, physical, mental or emotional handicap, or other factors unrelated to the need for training.

BY ORDER OF THE SECRETARY OF ENERGY:



DONALD W. PEARMAN, JR.
Acting Director
Administration and Human
Resource Management

Vertical line denotes change.



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CHAPTER 1

RESPONSIBILITIES AND AUTHORITIES

1. DIRECTOR OF ADMINISTRATION AND HUMAN RESOURCE MANAGEMENT shall:
 - a. Oversee the development of training policies and their implementation.
 - b. Concur in **requests** to the Office of Personnel **Management** to train Presidential appointees.
2. DIRECTOR OF PROFESSIONAL AND TECHNICAL TRAINING AND DEVELOPMENT shall:
 - a. Assure that training policies and programs meet the developmental needs of the Department.
 - b. Assist the Director of Administration and Human Resource Management in planning and guiding the continued development of executive manpower resources, and in carrying out approved development plans and actions of the Executive Personnel Board.
 - c. Keep the Director of Administration and Human Resource Management informed of the current status of employee training and development in the Department and its impact on mission accomplishment.
 - d. Approve any full-time training where tuition and fees exceed \$10,000 for a single program for a single employee.
 - e. Authorize, subject to the concurrence of the Assistant Secretary for Domestic and International Energy Policy, requests for foreign training assignment or domestic and international energy policy attendance at international conferences for training purposes.
 - f. Serve as DOE liaison with the Office of Personnel Management on training matters.
 - g. Develop and promulgate Departmentwide policies, standards, procedures, guidelines, and records and reporting requirements concerning employee development and training.

- h. Provide advice, guidance, information, and staff assistance regarding employee development and training to DOE organizations, managers, supervisors, and employees.
- i. Develop and administer Departmentwide training programs responsive to DOE requirements.
- j. Review utilization of authority to waive statutory limitations on use of non-Government facility training to ensure compliance with staff-year limitation restriction as **prescribed** by **FPM** chapter 410, subchapter 5-5.
- k. Recommend waiver of the **1-year-in-10** restriction to use non-Government training facilities. (See page **II-1**, paragraph **2b.**)
- l. When necessary, enter into agreements with other Government agencies to use their training programs and facilities and to extend to other agencies the programs and facilities of DOE.
- m. Establish a system to identify those employees with potential for positions of supervisory, managerial, and executive level **responsi- bilities** and provide support in developing, implementing, and evaluating supportive career development program. Such programs shall be subject to competitive procedures as appropriate.
- n. Audit and evaluate training conducted by component organizations throughout DOE focusing especially on needs assessment, relevancy of training, and training evaluation.
- o. Assure fair and equitable treatment of **employees** and reasonable uniform administration of employee development and training. "

3. APPROVING OFFICIALS shall:

- a. Identify short- and long-term development and training needs of their organizations and employees, and formulate annually a formal plan to meet such needs.
- b. Consistent with the criteria in Chapter V, determine whether it is in the Government's interest to waive, in whole or in part, any right to recover, under a continued service agreement, the additional expenses for training.

- c. Recommend to the Director of Administration and Human Resource Management assignment of employees for training by, in, or through non-Government facilities outside the United States and training facilities of foreign governments, international organizations, or their instrumentalities.
 - d. Provide appropriate management, technical, and general training when not provided centrally.
 - e. Evaluate all training sponsored and/or administered by their organization.
 - f. Recommend employees for special centralized development and training programs requiring Departmentwide competition.
 - g. Ensure that newly appointed managers and supervisors receive training in managerial and supervisory knowledge, skills, and abilities appropriate to the position being filled. At a minimum, they must receive the training required in Chapter III or obtain certification of equivalent training.
4. AUTHORIZING OFFICIALS shall:
- a. Assure that approved training is in compliance with Federal and DOE policies and procedures.
 - b. Waive, as appropriate, the 1-year continuous service requirement for the use of non-Government training facilities. (See page II-1, paragraph 2a.)
5. ASSISTANT SECRETARY FOR DOMESTIC AND INTERNATIONAL ENERGY POLICY:
- a. Concur with the assignment of employees to training by, in, or through non-Government facilities in countries where sensitive diplomatic situations exist.
 - b. Identify those foreign governments, international organizations, or their instrumentalities, eligible to provide training for DOE employees, or to attend DOE training programs.
6. FIRST-LINE SUPERVISORS shall:
- a. Use performance appraisal as a basis for recommending training.
 - b. Counsel employees concerning career development and training opportunities. Encourage employees to improve their performance through systematic and continuous self development.

- c. Provide for scheduled and systematic training and development of all subordinates--clerical, technical, and professional. Conduct on-the-job training for employees, and assure that training is necessary, relevant, and reasonable in cost.
- d. Assist in evaluating training completed by their personnel, as appropriate, by formally stating whether training was effective in improving performance.

7. EMPLOYEES shall:

- a. Identify additional knowledge, skills, and abilities required to achieve immediate and long-range career development goals. Each employee has the primary responsibility for identifying and accomplishing his or her own immediate and long-range career development goals.
- b. Satisfactorily perform in all assigned training.
- c. Provide objective feedback to their supervisors and appropriate training officials concerning the relevance of training to job performance.

CHAPTER 11

LATITUDE AND RESTRICTIONS

1. LATITUDE TO TRAIN AND DEVELOP EMPLOYEES. Training may be full time or part **time**, on or off duty, day or evening, or any necessary combination. It may be given by DOE, another Government agency or, subject to certain statutory limitations, by a non-Government facility, an educational institution, or by other competent individuals or groups in or out of Government. It may be accomplished through correspondence, classroom work, conferences, workshops, supervised practice, or other methods or combinations.
2. PROHIBITIONS AND RESTRICTIONS ON USE OF NON-GOVERNMENT TRAINING FACILITIES.
 - a. One-Year Service Requirement. Normally, an employee having less than 1 year current, continuous civilian service in the Government shall not be provided non-Government training unless a waiver is granted by the appropriate authorizing official after determining that such training is in the public interest. Exceptions to this limitation and waiver requirement are training that:
 - (1) Does not exceed 40 hours of classroom training in a single program during the employee's first year of current, continuous civilian service;
 - (2) Is provided by a manufacturer as part of a normal service incident to initial purchase or lease of equipment by the Government;
 - (3) Is provided through correspondence courses;
 - (4) Requires no tuition, fee, or charge other than salary expenses; or
 - (5) Is an integral part of a formal, entry-level development program.
 - b. One-Year-in-Ten. In the first 10 years of total civilian service following the date of the employee's entry into Government service, and in each such **10-year** period of service thereafter, the total length of non-Government training provided to each employee shall not exceed 1 year. Training time not used during any **10-year** period may not be carried over for use during succeeding **10-year** periods.
 - (1) Requests for waivers of the **1-year-in-10** limitation for periods of training not to exceed 2 years must be submitted to the Director of Professional and Technical Training and Development. A recommendation will be made to the Secretary

or the Office of Personnel Management, as appropriate, whether the waiver should be granted. The conditions under which a waiver may be granted are provided in FPM chapter 410, subchapter 5-5.

(2) The periods of training indicated on page II-1, paragraphs 2a(1)-(3), do not have to be counted against the 1-year limitation.

- c. One Percent Limitation. The total staff years of non-Government training provided by the Department in any fiscal year shall not exceed 1 percent of the total number of staff years of civilian employment for the Department in the same fiscal year. This limitation applies within each organizational element and adequate controls must be maintained to ensure that it is not exceeded. Requests to exceed this limitation shall be addressed to the Director of Professional and Technical Training and Development.
- d. Academic Degrees. Non-Government training cannot be provided for an employee solely for the purpose of obtaining an academic degree or degrees. This does not preclude providing training in a degree granting institution, nor does it prohibit an employee from earning and accepting credit toward a degree. Employees may receive academic degrees as an incidental by-product of non-Government training sponsored by the Department.
- e. promotional Qualifications. Non-Government training solely to prepare an employee to fill a position by promotion shall not be provided if there is another employee in the local area of equal ability and suitability who is fully qualified to fill the available position.
- f. Review of Need for Training. Before non-Government training which is more than 120 hours in a single program or is used to prepare an employee for a different occupational series is authorized, a determination must be made by the appropriate approving official that the functions for which the training would be needed cannot be assumed by other employees.

3. EQUAL OPPORTUNITY

- a. In accordance with DOE's commitment to equal opportunity, it will establish and support development and training programs and opportunities that provide knowledge and skills to assist employees to advance and to perform at their highest potential considering all training priorities and available resources.
- b. Managers and supervisors shall assure fair and equitable treatment in the selection and assignment of employees for training. In providing development and training opportunities for employees, there shall be no discrimination because of sex, race, religion, color, national origin, age, physical, mental or emotional handicap, or other factors unrelated to the need for training.

- e. The criteria for attendance at the DOE **supervisory** development program is as follows:
- (1) First Priority - New supervisors serving a probationary period.
 - (2) Second Priority - Supervisors who were not required to complete or who have completed a probationary period but have not had equivalent supervisory training.
 - (3) Third Priority - Supervisors who have not had supervisory training in the last 5 years.
 - (4) Fourth Priority - Non-supervisory employees on a **case-by-case** basis as justified under special circumstances. Written justification must be approved by the Employee Development and Training Division before an employee can be scheduled to attend.
- f. The content of the **80-hour** supervisory program is to be determined by the Employee Development and Training Division in consultation with managers and personnel and training officers. Delivery will be accomplished through appropriate field components and the Employee Development and Training Division. A written justification for attendance at courses other than those administered and/or conducted by DOE staff to meet the **80-hour** requirement must be provided and approved by the **appropriate** authorizing official. Development of local programs to **meet the 80-hour requirement** must be **approved by** the Employee Development and Training Division.
- g. Supervisors who successfully complete their probationary period and the 80 hours of required training should continue to enhance their supervisory skills and prepare themselves for increasing management responsibilities through participation in various specialized formal training courses at least every 2 years and in other developmental activities, e.g., rotational assignments and special projects designed to address their specific needs.
- h. Managers serving a probationary period are to attend the **40-hour** Management Development Seminar sponsored by the Department or certify, subject to concurrence by the training officer and approval by the authorizing official, the completion of equivalent training. The criteria for attendance at the DOE management development program follows the same sequence as paragraph **10e** above, does for supervisors.
- i. Managers who successfully complete their probationary period should continue to improve their managerial effectiveness through developmental experiences and training which focus on mastering identified managerial and executive competencies.

- j. Satisfactory completion of required supervisory and/or management training is one of the factors considered by reviewing officials in determining whether newly appointed managers or supervisors have received a full and fair trial as a probationary employee and are ready to be permanently assigned to a supervisory or managerial position. Timely attendance at required training is critical.
- k. Headquarters and field personnel offices should develop a system for tracking probationary supervisors and managers and scheduling them for appropriate training within required timeframes.

11. EVALUATION OF TRAINING.

- a. Just as training is an integral part of every supervisor's and manager's responsibility, periodic evaluation of training policies and programs to determine if objectives are being met and resources utilized effectively are also a management responsibility. Accordingly, approving officials are charged with the responsibility to evaluate periodically the effectiveness of their training policies and programs. At a minimum, the evaluation must address the following issues:
 - (1) Do the operational training policies and procedures assist managers in carrying out their responsibilities and, if not, what changes are recommended.
 - (2) Does the organization have an effective system for determining training needs and establishing training priorities?
 - (3) Is each training incident evaluated to assure training objectives were met?
 - (4) Are Departmental and Office of Personnel Management training regulations and directives being followed?
 - (5) Are accurate data which reflect training costs, numbers of training available to assist in managing the program?
- b. Records shall be kept to show the methods of analysis, findings, and recommendations as a basis for planning employee development and training activities.
- c. In addition to the internal or self-evaluation described above, both the Office of Professional and Technical Training and Development and the Office of Personnel Management periodically will conduct in-depth reviews of development and training activities and programs seeking to improve the overall effectiveness of employee development and training in DOE.

CHAPTER IV

REQUESTING AND UTILIZING TRAINING RESOURCES

1. BUDGET AND OTHER TRAINING RESOURCES.

- a. In planning, programming, and budgeting for employee development and training, responsible officials must give careful consideration to resource needs and the most cost-effective approach to meet those needs. These requirements include manpower, training materials and equipment, training space, and funds to assure that resources are adequate to meet program objectives and identified priority needs.
- b. As a part of the annual needs identification and priority setting process, a training budget is to be developed based on projected activities and cost estimates as reflected in the annual training plan.
- c. The Departmental Office of Professional and Technical Training and Development budgets for and administers Departmentwide, centrally sponsored training programs.

2. DETERMINING THE SOURCE OF TRAINING. Non-Government facilities may be selected for training only when it is determined that adequate training is not reasonably available from Government sources. The appropriate authorizing official will determine that adequate training is not reasonably available (EPM chapter 410, subchapter 5-2).

3. PAYMENT FOR TRAINING.

- a. DOE supports just and equitable financial assistance for employee development and training including paying for any or all costs (within budgetary constraints) related to training outlined in FPM chapter 410, subchapter 6-3(d). In paying training expenses, priority should be given to:
 - (1) Training which is required for an employee to perform or more effectively perform current duties or anticipated future duties in the same position.
 - (2) Training that is required by law or regulation.
 - (3) Training required to provide for systematic replacement of skilled employees through official developmental programs.
- b. Authorizing officials are responsible for taking whatever steps are **appropriate** to assure that employees are not receiving duplicate payments from more than one **source** for training authorized at DOE expense (i.e., Veterans Administration educational benefits) and making adjustments, when necessary, to avoid duplicate payments for the same expense.

- c. The authorizing official shall determine whether to pay or reimburse an employee for necessary training. Whether the training is paid for in advance or the employee is reimbursed, the training must be approved and authorized by the appropriate officials before the employee enrolls, registers, and/or attends the training. The following fees and service costs relating to training may be paid
- (1) Tuition and matriculation fees, except fees related to the's research and preparation.
 - (2) Library and laboratory services.
 - (3) Purchase or rental of books, materials, and supplies.
 - (4) Membership fees to the extent that the fees are necessary costs directly related to eligibility to enroll in the training itself, or that payment of the fee is a condition precedent to undertaking the training.
- d. Direct and Indirect Training costs.
- (1) Direct Costs. When training is provided by the Department and conducted by an employee, direct costs include books, supplies, and materials directly associated with the instance of training and cost factors related to the design, structure, and conduct of the training program. In the case of training acquired from external sources, direct costs may include the dollar amounts paid for tuition, laboratory or library fees, books, and other materials or supplies for each completed instance of training. Such costs include contracts to conduct training, text material, visual aids, classroom rental, miscellaneous class materials, and travel costs for instructors.
 - (2) Indirect costs. Expenses incidental to the training that are not incurred in the actual structuring and conducting of the program. Transportation and per diem costs necessary for participants to attend the program are major indirect costs.
4. PROGRAM FUNDS VERSUS TRAINING FUNDS. Training funds may be budgeted specifically for training purposes or as a part of administrative or program funds. The provisions of this Order and FPM chapter 410 apply regardless of the origin of the funds. In organizations having consolidated or centralized training budgets, program organizations are not authorized to train DOE employees with program funds without first obtaining advance approval from the appropriate authorizing official and the appropriate finance office. In any case, a specific dollar allocation should be identified and set aside to ensure that the identified and prioritized training needs are met.

5. TRAVEL AND PER DIEM.

- a. Official travel performed for the purpose of participating in authorized training or attending professional meetings and conferences for development and training is paid for the same as official travel performed for any other purpose. Travel and per diem, or actual subsistence expenses when justified, will be authorized and paid in accordance with the Federal Travel Regulations (FTR) and subchapter 1 of chapter 57, title 5, United States Code.
- b. The Office of Professional and Technical Training and Development shall authorize all travel for employees selected to attend centrally sponsored training programs.
- c. Employees on extended training assignments (more than 30 days) may be authorized per diem payments exceeding 55 percent of the applicable maximum per diem rate only after documentation justifying the higher rate has been provided and accepted by approving and authorizing officials.

6. TIME AND ATTENDANCE.

- a. Time and Attendance Records will be maintained for employees authorized to participate in development and training activities such as seminars, professional conferences, or meetings while in pay status in the same manner and with the same security and control as for other employees.
- b. Commutation of Time and Training. Time in training is to be computed in accordance with FPM chapter 410, subchapter 5-6.
- c. Prohibition of Premium Pay. Approving and authorizing officials have the responsibility of advising employees selected for training of the prohibitions regarding premium pay while being trained. Premium pay cannot be paid for time spent in training except under the following conditions:
 - (1) In instances described in FPM chapter 410, section 6-2c:
 - (2) When a specific exception has been authorized by OPM; or
 - (3) When training is considered hours of work under the Fair Labor Standards Act (FLSA). (Training is considered hours of work under the FLSA when the training is to correct deficiencies in an employee's performance or to provide an employee with the knowledge or skills to perform new duties or responsibilities in his or her present position.)

d. Leave Status During Long-Term Training.

- (1) Time and Attendance Reporting. An individual who is assigned to long-term training shall continue to be reported on the employee's regular time and attendance report in accordance with the requirements of time and attendance reporting.
- (2) Annual and Sick Leave. Absence for personal reasons from scheduled classes and activities shall be charged to annual or sick leave, dependent on the reasons for the absence.

7. PAYMENT FOR PROFESSIONAL EXAMINATION FEES, CERTIFICATES, AND LICENSES.

- a. Fees assessed for employees to compete in professional certification examinations or for job-related certificates or licenses are the responsibility of the employee and not DOE. Such examinations and accreditation are personal to the holder and remain with them whether or not they remain in the employ of DOE.
- b. This does not preclude DOE from authorizing training funds to pay for job-related training that may, as a secondary benefit, assist an employee to maintain certification or accreditation. Training of this nature should be closely scrutinized to determine the appropriate roles and responsibilities of the parties.

8. TRAINING REQUESTS AND APPROVAL.

- a. Requests to attend DOE-sponsored training programs of 4 or more hours duration, if in-house or interagency, and training programs of any length at a non-Government facility, will be submitted to the organization's training officer or representative. Data from the request will be entered into the Department's Training Information System for electronic preparation of the DOE F 3410.4, "Request, Authorization, Agreement and Certification."
- b. The requests must be signed by the employee's immediate supervisor; then forwarded through normal supervisory channels to the individual designated to review and to establish training priorities for the **office** or organizational element involved; and finally to the authorizing official for determination of eligibility for training, compliance with appropriate policies and regulations, availability of funds, and registration of the individual once training is approved. AS training generally requires that prior arrangements be made with the training facility, training data should be entered into the Departmental Training Information System as far in advance as possible, but no later than 2 weeks prior to the beginning date for the desired course or program.

CHAPTER V

AGREEMENTS TO CONTINUE IN SERVICE

1. AGREEMENTS TO CONTINUE IN SERVICE AFTER TRAINING. A continued service agreement shall be required for all training which meets the following criteria:
 - a. Non-Government training that exceeds 80 hours (2 weeks) in a single program during which an employee receives salary from DOE as **well** as **some** or all of the additional expenses incurred in the training. Additional expenses are defined as any contribution or expense paid by DOE in connection with the training except salary or pay. Training hours are to be computed per **FPM** chapter 410, subchapter 5-6.
 - b. **Non-Government** training, regardless of course length, where the cost of training, excluding the employee's transportation, per diem, and salary, exceeds \$1,000 for a specific individual program or course.
 - c. Any case where the approving and authorizing officials agree that a continued service agreement would be appropriate.
2. PROCEDURES FOR EXECUTING AGREEMENT. The trainee shall sign the continued service agreement on the reverse side of the first page of DOE F 3410.4 indicating that the trainee has read and understands the provisions of the agreement. A single agreement will cover one or more phases of training when such phases cover an unbroken period. A copy of the agreement **will** be provided the employee and appropriate finance office.
3. PERIOD OF OBLIGATED SERVICE.
 - a. The agreement obligates the employee to remain with DOE for the period of training plus a post-training period equal to three times the length of the training.
 - b. **When** DOE pays some or all of the additional expenses incurred in an employee's training, but the employee receives no pay while in training, the period of obligation may be reduced with the approval **of** the Director of Professional and Technical Training and Development.
 - c. The obligated period of post-training service begins on the first workday after the training is completed. It includes **all** workdays thereafter in which the employee is in pay status, except that credit for this purpose is limited to 5 days (40 hours) per calendar week.

- d. When the time in training is a number of days plus a fraction of a day, the total time shall be computed to the next higher day.
- e. Time spent in subsequent training programs may be applied towards satisfying previous in-service agreement obligations.
- f. Time spent in a nonpay status is not countable toward completion of the in-service agreement obligation unless it is at the convenience of the Department.

4. **GUIDELINES FOR ADMINISTERING AGREEMENTS.**

- a. **Involuntary Separations.** The agreement will 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 will be considered an involuntary separation, provided that the reason for the separation is not misconduct or personal delinquency as indicated above.
- b. **Orders to Military Service.** Orders to report for military service (other than training duty) will 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 this post-training service obligation.
- 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 will 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 Government Agency.** When DOE receives a request for transfer from an employee subject to a continued service agreement, **it** will notify the gaining agency that the employee is still subject to a continued service agreement. If DOE determines that the training received will be utilized in the new position, the agreement is transferred to the gaining agency. The gaining agency must then assure that the agreement is fulfilled. If DOE determines that the training received will not be utilized in the new position, it must notify the employee in writing before the effective date of the transfer that it intends to "recover the additional expenses.

CHAPTER VI

TRAINING FORMS, RECORDS, AND REPORTS

1. TRAINING FORMS AND RECORDS.

- a. Forms. The following forms are prescribed for use in DOE employee development and training programs:

- (1) DOE F 3410. 4, "Request, Authorization, Agreement, and Certificate of Training."
- (2) OPM Form 1306, a training report on employees receiving more than 120 days of training under 5, U.S.C., section 4103 by, in, or through a non-Government facility during a fiscal year.

- b. Records. The computerized Departmental Training Information System shall be utilized to create, maintain, and produce records,

- (1) Training data shall be electronically entered in the Departmental Training Information System through the preparation of individual training forms, DOE F 3410. 4, and stored for the production of desired records.
- (2) Training officers or their representatives are responsible for accurate and complete data entries, training status updates (evaluation received, actual costs, and college pass/fail), and the review of produced records to ensure validity.
- (3) Records of training expenses must be maintained, and shall cover the payments made by DOE for travel, tuition, fees, and other necessary expenses of training by, in, or through Government and non-Government facilities. Normally these records can be developed from data in the Departmental Training Information System. This data will also be used to prepare that portion of the annual report relating to expenditures for training.
- (4) Each servicing personnel office shall keep on file a copy of any formalized individual employee's or any organization's development plans.

c. Individual Training Records.

- (1) Documentation of successful completion of Government training of hours or more, any instance of completed non-Government training, and training completed to meet statutory or DOE requirements regardless of length or source must be filed in

the employee's official personnel folder. The documentation may be a copy of DOE F 3410.4, a copy of the certificate of training, or an authorized Departmental Training Information System record.

- (2) Employees should review their training records at least annually. Servicing personnel or training offices shall make individual training records available upon request. Information concerning course work or **training** activities otherwise funded may **be** added to the training-record at the request of the employee and the presentation of evidence of training completion.

2. REPORTS.

- a. Reports from Employees and Supervisors on Training. Upon completing a **training** assignment, the **employee** and supervisor shall **complete** the Termination and-Evaluation Data **sheet**, sections H and I of DOE F 3410.4 or authorized substitute evaluation form, and submit the completed form to their servicing training officer. Evaluation should be completed no later than 15 days following completion of training and appropriate entry indicating satisfactory completion of training made into the Departmental Training Information System.
- b. Annual Reports on Employee Development and Training. Each Departmental Element shall report on activities as follows:
 - (1) Training data not maintained in the Departmental Training Information System as required by the Director of Professional and Technical Training and Development based on the requirements of the Office of Personnel Management for the particular fiscal year. The Director of Professional and Technical **Training** and Development shall submit a consolidated report annually **to** the **Office of** Personnel Management, based on the above, and in accordance with FPM chapter 410, subchapter 9.
 - (2) Information on the number of employees failing to fulfill their obligations under continued service agreements and a brief description of the action taken on the recovery of the additional expenses incurred by the Government for their training.
 - (3) Any waivers to use non-Government facilities or for inservice agreements and training cost **ng** above \$3,000.

3. CERTIFICATES OF TRAINING. A Certificate of Training should be issued to each employee who successfully completes a DOE training course of 4 hours or more. "Successful completion" is **def** ned as fulfillment of attendance, work, and all testing requirements **estab** lished for the course or program.

U.S. Department of Energy
Washington, D.C.

PAGE CHANGE

DOE 3410.1B Chg 3

6-13-94

SUBJECT: TRAINING

1. PURPOSE. To transmit revised pages to DOE 3410. 1B, TRAINING, of 2-29-88.
2. EXPLANATION OF CHANGE. To eliminate requirement for organizations to submit to the Office of Professional and Technical Training and Development approval for full-time training where tuition and fees exceed **\$10,000** for a single program for a single employee. (NOTE: This Page Change does not change the nature of review carried out by the approving and authorizing officials.)
3. FILING INSTRUCTIONS.

a.	<u>Remove Page</u>	<u>Dated</u>	<u>Insert Page</u>	<u>Dated</u>
	I-1	5-18-92	I-1	6-13-94
	I-2	5-18-92	I-2	5-18-92

-
- b. After filing the attached pages, this transmittal may be discarded.

BY ORDER OF THE SECRETARY OF ENERGY:



ARCHER L. DURHAM
Assistant Secretary for
Human Resources and Administration

DISTRIBUTION:

All Departmental Elements

INITIATED BY:

Office of Professional and Technical
Training and Development



CHAPTER 1

RESPONSIBILITIES AND AUTHORITIES

1. DIRECTOR OF ADMINISTRATION AND HUMAN RESOURCE MANAGEMENT shall:
 - a. Oversee the development of training policies and their implementation.
 - b. Concur in requests to the Office of Personnel Management to train Presidential appointees.
2. DIRECTOR OF PROFESSIONAL AND TECHNICAL TRAINING AND DEVELOPMENT shall:
 - a. Assure that training policies and programs meet the developmental needs of the Department.
 - b. Assist the Director of Administration and Human Resource Management in planning and guiding the continued development of executive manpower resources, and in carrying out approved development plans and actions of the Executive Personnel Board.
 - c. Keep the Director of Administration and Human Resource Management informed of the current status of employee training and development in the Department and its impact on mission accomplishment.
 - d. Deleted.
 - e. Authorize, subject to the concurrence of the Assistant Secretary for Domestic and International Energy Policy, requests for foreign training assignment or domestic and international energy **policy** attendance at international conferences for training purposes.
 - f. Serve as DOE liaison with the Office of Personnel Management on training matters.
 - g. Develop and promulgate Departmentwide policies, standards, procedures, guidelines, and records and reporting requirements concerning employee development and training.

Vertical line denotes change.

- h. Provide advice, guidance, information, and staff assistance regarding employee development and training to DOE organizations, managers, supervisors, and employees.
- i. Develop and administer Departmentwide training programs responsive to DOE requirements.
- j. Review utilization of authority to waive statutory limitations on use of non-Government facility training to ensure compliance with staff-year limitation restriction as prescribed by FPM chapter 410," subchapter 5-5.
- k. Recommend waiver of the **1-year-in-10** restriction to use non-Government training facilities. (See page **II-1**, paragraph **2b.**)
- l. When necessary, enter into agreements with other Government agencies to use their training programs and facilities and to extend to other agencies the programs and facilities of DOE.
- m. Establish a system to identify those employees with potential for positions of supervisory, managerial, and executive level **responsi- bilities** and provide support in developing, implementing, and evaluating supportive career development program. Such programs shall **be** subject **to** competitive procedures as appropriate.
- n. Audit and evaluate training conducted by component organizations throughout DOE focusing especially on needs assessment, relevancy of training, and training evaluation.
- o. Assure fair and equitable treatment of **employees** and **reasonably** uniform administration of employee **development** and training.

3. **APPROVING OFFICIALS** shall:

- a. Identify short- and long-term development and training needs of their organizations and employees, and formulate annually a formal plan to meet such needs.
- b. Consistent with the criteria in Chapter V, determine whether it is in the Government's interest to waive, in whole or in part, any right to recover, under a continued service agreement, the additional expenses for training.

Vertical line denotes change.