

# ORO CONTROL FORM - FINAL DIRECTIVE

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

1. **NUMBER AND TITLE OF DIRECTIVE:** **ORO O 360, Chapter I, Change 3, FEDERAL EMPLOYEE TRAINING**

2. **PURPOSE OF TRANSMITTAL:**  New Directive  Revised Directive

3. **THIS DOCUMENT MAY AFFECT THE WORK PERFORMED BY THE FOLLOWING CONTRACTORS:** (Check appropriate boxes)

No (all contractors)

Yes If yes, whom?  Bechtel Jacobs Co.  ORAU  UT-Battelle

Other contractors (list by type)

*Many ORO contractors have approved Standards/Requirements Identification Documents (S/RIDs) or Work Smart Standards (WSS) Sets that may affect applicability of contractor requirements from this directive. Applicability of contractor requirements must take into account the approved standards set for each particular contract.*

4. **SIGNIFICANT PROVISIONS:** Are there any significant changes or impacts?  No  Yes  
If yes, describe: This ORO Chapter is part of the ORO sunset review process. No changes were made during this sunset review.

5. **CONTACT POINT:** Butch Brant Training and Development Group, AD-443 576-4087  
Name Organization Telephone

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

6. **FILING INSTRUCTIONS:**

<u>Remove</u>	<u>Dated</u>	<u>Insert</u>	<u>Dated</u>
ORO Control Form	04/30/2002	ORO Control Form	05/14/2004
ORO O 360, Ch. I, Chg. 2	04/30/2002	ORO O 360, Ch. I, Chg. 3	05/14/2004

*ORO Directives are available on the ORO Directives Management Group Home Page at [http://www.ornl.gov/doe/doe\\_oro\\_dmg/oro\\_dir.htm](http://www.ornl.gov/doe/doe_oro_dmg/oro_dir.htm). The ORO Directives will no longer be mailed in printed copy unless you do not have Internet capabilities.*

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

*Original Signed By*  
Wayne H. Albaugh 05/14/2004  
Signature: DMG Team Leader, AD-440 Date

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

Rev. 11/06/2003

## NNSA/YSO CONTROL FORM – FINAL DIRECTIVE

### PART A (To be completed by the ORO DIRECTIVES MANAGEMENT GROUP, AD-440):

**DIRECTIVE NUMBER, TITLE, AND DATE:**

**ORO O 360, CHAPTER I, CHANGE 3, FEDERAL EMPLOYEE TRAINING, dated 05/14/2004**

**PURPOSE OF TRANSMITTAL:**     New Directive     Revised Directive**DOES THIS DIRECTIVE CANCEL/REPLACE OR EXTEND ANY OTHER DIRECTIVES?**     Yes     No  
**If "Yes,"** list what action (cancel/replace or extend) and list the Directive(s), including the number(s), title(s), and date(s):

This Directive cancels and replaces ORO O 360, Chapter I, Change 2, FEDERAL EMPLOYEE TRAINING, dated April 30, 2002.

The attached Directive is forwarded for review and action. Complete Part B and forward this form to ORO DMG, AD-440, by **06/01/2004**.

### PART B (To be completed by the NNSA Y-12 SITE OFFICE, Y12-01):

**CONTRACTOR APPLICABILITY:****Does this Directive affect the work performed by BWXT Y-12, L.L.C.?**     Yes     No**Does this Directive affect the work performed by BWXT Y-12, L.L.C., subcontractors?**     Yes     No**If "Yes,"** list the subcontractors:

*Many contractors have approved Standards/Requirements Identification Documents (S/RID) or Work Smart Standards (WSS) Sets that may affect applicability of contractor requirements from this Directive. Applicability of contractor requirements must take into account the approved standards set for each particular contract.*

**SIGNIFICANT PROVISIONS:** Are there any significant changes or impacts?     Yes     NoList summary of Directive changes and, **if "Yes"** above, describe the significant changes or impacts:**IMPLEMENTATION:** Does the Directive contain special implementation requirements and/or dates?     Yes     No**If "Yes,"** describe:**FOR DOE DIRECTIVE – SUPPLEMENTAL DIRECTIVE REQUIRED?**Is a new or revised supplemental Directive required?     Yes     No    YSO-2.1 covers all requirements in this Directive.**If "Yes,"** target date for submission of YSO Directive is \_\_\_\_\_.**IDENTIFY CONTACT POINT:**    Mark A. Sundie    241-6441  
Name    Telephone**APPROVED BY COR FOR DIRECTIVES:**    Diane McCarten    06/08/2004    576-9330  
Signature    Date    Telephone

### PART C (To be completed by the ORO DIRECTIVES MANAGEMENT GROUP, AD-440):

*DOE Directives are available on the DOE Directives Portal at <http://www.directives.doe.gov/>. ORO Directives are available on the ORO Directives Management Group Home Page at [http://www.ornl.gov/doe/doe\\_oro\\_dmg/oro\\_dir.htm](http://www.ornl.gov/doe/doe_oro_dmg/oro_dir.htm). Directives will no longer be mailed in printed copy unless you do not have Internet capabilities.*

**APPROVED FOR DISTRIBUTION IN ACCORDANCE WITH OFFICIAL DIRECTIVE DISTRIBUTION LIST:**

*Original Signed By*  
Wayne H. Albaugh, AD-440    06/14/2004  
Name    Date

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

(Revised 11/06/2003)

# U.S. Department of Energy

Oak Ridge Operations

ORO O 360  
Chapter I  
Change 3

DATE: 05/14/2004

## **SUBJECT: FEDERAL EMPLOYEE TRAINING**

---

1. PURPOSE. This Chapter correlates to DOE O 360.1B, FEDERAL EMPLOYEE TRAINING, and DOE M 360.1-1B, FEDERAL EMPLOYEE TRAINING MANUAL, both dated October 11, 2001, by assigning responsibility and accountability and providing administrative guidance to the Oak Ridge Operations (ORO) and the Office of Scientific and Technical Information (OSTI). Nothing in this issuance changes any requirements contained in any DOE Directive.
2. CANCELLATION. This Chapter cancels and replaces ORO O 360, Chapter 1, Change 2, TRAINING, dated April 30, 2002.
3. APPLICABILITY. The provisions of this Chapter apply to all ORO and OSTI employees.
4. RESPONSIBILITIES.
  - a. Principal Staff.
    - (1) Perform those managerial or supervisory tasks identified in DOE O 360.1B and DOE M 360.1-1B.
    - (2) Designate the positions and/or individuals in their respective organizations required to participate in the Technical Qualification Program (TQP) and the applicable functional areas.
    - (3) Approve employee requests for training.
    - (4) Ensure that all training by employees is authorized in advance by the Training and Development Group (TDG) for ORO employees and the Office of Assistant Director for Administration and Information Services (ADAIS) for OSTI employees.
  - b. Team Leader, Training and Development Group, ORO; and Assistant Director for Administration and Information Services, OSTI.
    - (1) Perform those tasks designated for Training Officer identified in DOE O 360.1B and DOE M 360.1-1B.
    - (2) Implement and administer the overall ORO or OSTI training and development program.
    - (3) Coordinate and report on self-assessments of the effectiveness of training programs.

- (4) Coordinate with the Human Resources Division and other ORO and OSTI organizations in implementing the major elements of employee training to include orientation, general training, performance development, and career development.
  - (5) Maintain training and qualification records for Federal employees.
  - (6) Authorize training in accordance with the procedures prescribed in Paragraph 5 of this Chapter.
  - (7) Ensure that employees assigned training responsibilities have the necessary competencies to assess training needs, estimate training resource needs, and plan, design, deliver, assess, administer, and/or manage approved training, as required.
  - (8) Issue all purchase orders for training courses and materials in a timely manner to ensure that employees are registered promptly and/or that advance payment is made to the vendor when necessary.
  - (9) Review and approve for payment OR F 3410.5, "Reimbursement Voucher for Training Expenses," (see Attachment 1), then forward to Oak Ridge Financial Service Center (ORFSC) for processing.
- c. ORO Federal Technical Capability Program (FTCP) Panel oversees all related Federal technical training and education activities at ORO. This is consistent with those responsibilities of the DOE FTCP Panel listed in DOE O 360.1B and DOE M 360.1-1B. Some of these activities are described in DOE P 426.1, FEDERAL TECHNICAL CAPABILITY POLICY FOR DEFENSE NUCLEAR FACILITIES, DOE M 426.1-1, FEDERAL TECHNICAL CAPABILITY MANUAL, and DOE G 426.1-1, RECRUITING, HIRING, and RETAINING HIGH-QUALITY TECHNICAL STAFF.
- d. Director, Human Resources Division, ORO; and Assistant Director for Administration and Information Services, OSTI, perform those tasks identified in DOE O 360.1B and DOE M 360.1-1B.
- e. Director, Oak Ridge Financial Service Center (ORFSC).
- (1) Processes ORO F 3410.5, "Reimbursement Voucher for Training Expenses," (see Attachment 1), for direct costs to employees who undertake training on a reimbursable basis.
  - (2) Coordinates with ORO TDG and the OSTI ADAIS any cost deviations from initial obligations.
- f. Employees.
- (1) If selected to participate in the TQP, complete the requirements as described in the ORO Technical Qualification Program Manual.
  - (2) Submit training and qualification documentation to TDG or the OSTI Training Officer.

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

5. REQUIREMENTS AND PROCEDURES.

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

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

- b. Federal Technical Capability Program (FTCP). ORO established the ORO FTCP Panel, consisting of the core group of Senior Technical Safety Managers (STSMs), to oversee all Federal technical training and education activities at ORO. Its purpose is to guide the implementation of ORO’s FTCP to successfully accomplish the overall ORO mission. TDG is represented ex officio on the panel and provides technical assistance to the panel, as needed.
- c. Individual Development Plans (IDPs). DOE M 360.1-1B prescribes the preparation of IDPs. IDPs are required within 60 days of an employee joining the Department or transferring to a new position, and are reviewed and updated annually. Employees initiate and supervisors and managers approve IDPs through discussions with individual employees regarding job requirements and the competencies required to successfully meet these requirements.

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

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

IDPs are a planning tool for identifying developmental activities that support the organization’s mission. These plans should be mutually developed with input from both the employee and the supervisor in order to first determine job specific needs and subsequently future demands or skill gaps. Employees must not misconstrue supervisory approval of an IDP to mean they

will automatically receive every training course requested in the plan. The following guidelines apply:

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

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

- d. Technical Qualification Program (TQP). This ORO Directive authorizes the use of the “ORO Technical Qualification Program Manual - A Desktop Reference for Supervisors and Participants.” The Manual, which includes the TQP Plan, describes the specific implementation the TQP at ORO. Chapter V, “Technical Qualification Program,” of DOE M 360.1-1B provides additional general guidance for TQP implementation.

TDG tracks the TQP participants' identified competencies and completion status through the Managed Competencies Module of the Corporate Human Resource Information System (CHRIS) and an auxiliary database. Further, TQP participants use ESS to review and update their TQP records.

- e. Training Administration.

- (1) Guidance. Consistent with DOE O 360.1B, TDG's guidance for carrying out its training and development activities is prescribed in ORO O 360 and related job aids developed by staff.
- (2) Needs Assessment. DOE O 360.1B requires the TDG to conduct an annual needs assessment. The information obtained from the needs assessment is primarily identified through approved IDPs and identified organizational training needs. The results of this assessment allow TDG to identify the developmental needs of ORO's Federal population and schedule or locate training to meet those needs. The needs assessment also allows TDG to plan for future needs.
- (3) Annual Training Plan (ATP). Pursuant to DOE O 360.1B, TDG identifies training needs in budget submissions, prioritizes those training needs, and allocates resources appropriately. The ATP preparation and maintenance entail the development of a work breakdown structure, task description sheets for fiscal year (FY) activities, distribution of the ATP to TDG staff and Assistant Managers, and documenting the status of the FY activities.

(4) Training Center.

(a) Training Registration - Training requests are initiated and processed electronically. Refer to <http://www.ora.gov/tdd/tddreq.htm> for more information and direction.

(b) Training Program and Employee Training Records.

1 The accession and maintenance of training, education, and development records will be conducted in accordance with the guidance in DOE M 360.1-1B. TDG enters course and participant training record data into the Training Administration Module of CHRIS.

2 Employees may access their training record through ESS. TDG makes paper-copy employee TQP training and qualification records available to the employee; and upon reassignment, transfer, or separation, provides, on request, employees their training record while employed by DOE or a complete copy or equivalent.

f. Restrictions.

(1) Training Requests and Funding. TDG funds ORO training and education courses. In most cases, any training related to the mission of the DOE and approved by the employee's supervisor is normally approved by TDG, subject to available funding. The following restrictions apply.

(a) Electronic training request forms must be received and approved by TDG before the employee registers for an education course and before a training session begins. It is mandatory to ensure that funds are available and obligated, in accordance with Federal regulations. Just as ORO employees cannot travel without approved travel authorizations, they cannot attend training or education courses without approved training requests.

(b) TDG also reviews the training requests for purposes of notifying employees and/or their supervisors when:

- an alternative course is available that is more cost-effective,
- a training request is received for off-site training that is scheduled to be conducted in-house,
- additional documentation is needed, or
- training must be denied.

(c) TDG requires a minimum of two weeks to process the electronic training request, register the employee, and prepare a purchase order, if required. TDG will make best efforts to process "last-minute" requests that are caused by situations that are beyond the control of the employee.

(2) Educational Reimbursement. ORO recognizes the positive value of providing financial assistance to employees who choose to improve their knowledge, skills, and abilities through higher education courses. In order to ensure consistency and equity in educational opportunities, the following criteria are established for all supervisors and

authorizing officials to govern authorizations for employees' educational course requests. If all criteria are met, the employee then would submit the Reimbursement Form (see Attachment 1) to TDG for course reimbursement.

- Funds for such training or education must be available within the training budget.
- In the course of conducting the employee's performance appraisal and job counseling, the supervisor has agreed on the relevance of courses selected to the DOE mission. (An employee's reasons for requesting any course which appear too extraneous should be clearly understood by the supervisor, who must decide on the actual relevance before authorizing the course.)
- Academic training will not be approved solely for the purpose of assisting an employee in obtaining a degree.
- The employee understands that there are no guarantees or promises of promotion or new assignments as a result of his or her efforts.
- Academic courses must be taken for credit, not to audit.
- The employee understands that he or she will not be entitled to reimbursement for educational costs if the academic course is not passed with at least a grade of "C" for undergraduate courses, grade of "B" for graduate level courses, or "passed" if offered only on a pass/fail basis.

In situations where employees fail to cancel their training within the cancellation time frame or fail to attend at least 80 percent of the scheduled training, the ORFSC will continue to automatically debit the discretionary account of the affected employee's organization to cover costs incurred.

- g. Program Design, Development, Implementation, and Evaluation. Training program design, development, implementation, and evaluation practices will be consistent with those prescribed in the applicable DOE Standards and Guides to good practices. These Standards and Guides are located at <http://tis.eh.doe.gov/techstds/standard/appframe.html>.

DOE Standards and Guides are used to develop and validate written examinations developed for the TQP and the Facility Representative Program. Other references (e.g., the Examination Administration Guidance, Examination Validation Guidance, Examination Security Agreement, and the Facility Representative Qualification Program Guidelines for Writing Test Items) are appropriate to use. In addition, the following specific guidance applies to the Facility Representative Program examination development and administration.

- All test items must be developed by subject matter experts and reviewed by instructional experts to ensure appropriate item content and construct validity.
- Examination results will be kept confidential between the employee, employee's supervisor, and TDG. As appropriate, TDG approves any other access to these records.
- All records will be maintained in a locked cabinet with restricted access, using the proper examination security protocol.

- h. Remedial Activities. If an employee does not satisfactorily complete a course, examination, evaluation, or other activity, remedial activities will be completed and documented.
- i. Human Resources Initiatives. TDG support to ORO's succession planning activities is described in the "ORO Leadership 21 Program Manual". In addition, TDG maintains a database with a web interface for the participants to view their program completion status.

6. REFERENCES.

- a. DOE P 426.1, FEDERAL TECHNICAL CAPABILITY POLICY FOR DEFENSE NUCLEAR FACILITIES, dated December 10, 1998.
- b. DOE M 426.1-1, FEDERAL TECHNICAL CAPABILITY MANUAL, dated June 5, 2000.
- c. DOE G 426.1-1, RECRUITING, HIRING, AND RETAINING HIGH-QUALITY TECHNICAL STAFF – A MANAGER'S GUIDE TO ADMINISTRATIVE FLEXIBILITIES, dated December 10, 1998.
- d. DOE P 450.4, SAFETY MANAGEMENT SYSTEM POLICY, dated October 15, 1996.
- e. ORO Technical Qualification Program Manual - A Desktop Reference for Supervisors and Participants.
- f. ORO Leadership 21 Program Manual.

7. DEFINITIONS.

- a. **APPROVING OFFICIAL**. An ORO or OSTI employee (generally, first- or second-line supervisor) delegated approval authority for training assignments.
- b. **AUTHORIZING OFFICIAL**. A TDG employee or the OSTI Training Officer designated to review and approve requests for training or educational courses, ensuring Federal requirements are met and that sufficient funds are available.
- c. **COSTED TRAINING**. A training course that incurs direct costs (e.g., costs for registration fees, books, materials, etc.).
- d. **EDUCATIONAL COURSES**. Courses provided by accredited colleges, universities, or technical schools (graduate and undergraduate) both onsite and offsite.
- e. **NON-COSTED TRAINING**. A training course that incurs no direct costs. Non-Costed courses are funded primarily by the provider.
- f. **TRAINING CENTER (TC)**. The TC is a centrally located office responsible for maintaining literature on training resources and upcoming courses, processing all training requests and related forms, maintaining ORO employee training records, and maintaining a variety of training related materials such as textbooks, videotapes, audiotapes, periodicals, and technology-supported learning programs.

8. CONTRACTOR REQUIREMENTS DOCUMENT. None.

9. ATTACHMENTS.

- a. Attachment 1 – OR F 3410.5, "Reimbursement Voucher for Training Expenses," dated January 2002.

**REIMBURSEMENT VOUCHER FOR TRAINING EXPENSES**

<u>U.S. DEPARTMENT OF ENERGY, OAK RIDGE OPERATIONS</u> (Department, bureau, or establishment)	Check Payment Information
Payee's Name _____	
Mailing Address _____	
_____	
_____	

Course Title \_\_\_\_\_

Training Dates \_\_\_\_\_

ITEM	DOLLARS	CENTS
A. TUITION		
B. BOOKS		
C. OTHER (Explain Below)		
D. TOTAL		

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

For reimbursement – Complete this form and submit it to the Training and Development Group along with the following:

1. Copy of SF-182.
2. Copy of report card or certificate showing class was satisfactorily/successfully completed.
3. Receipts for tuition, books, and other expenses.

OTHER ITEMIZATION:

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

\_\_\_\_\_  
(Date) (Employee)

*I certify that the above costs are authorized for reimbursement.*

\_\_\_\_\_  
(Date) (Training Authorizing Official)

---

ACCOUNTING CLASSIFICATION - TO BE COMPLETED BY TRAINING AND DEVELOPMENT GROUP PERSONNEL

---

TR NO. \_\_\_\_\_

B&R \_\_\_\_\_

COST CENTER \_\_\_\_\_