

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

ORDER

DOE O 360.1C

Approved: 7-6-2011

SUBJECT: FEDERAL EMPLOYEE TRAINING

1. PURPOSE. This Order establishes requirements and responsibilities for the Department of Energy (DOE) Federal employee training in accordance with Chapter 41 of Title 5, United States Code (U.S.C.).
2. CANCELLATION. DOE O 360.1B, *Federal Employee Training*, and DOE M 360.1-1B, *Federal Employee Training Manual*, both dated 10-11-01. Cancellation of a directive does not, by itself, modify or otherwise affect any contractual or regulatory obligation to comply with the directive. Contractor Requirements Documents (CRDs) that have been incorporated into a contract remain in effect throughout the term of the contract unless and until the contract is modified to either eliminate requirements that are no longer applicable or substitute a new set of requirements.
3. APPLICABILITY.

- a. Departmental Applicability. This Order applies to all DOE Headquarters and Field elements, except those identified in paragraph 3c.

The Administrator of the National Nuclear Security Administration (NNSA) will assure that NNSA employees and contractors comply with their respective responsibilities under this Order. Nothing in this Order will be construed to interfere with the NNSA Administrator's authority under section 3212(d) of Public Law (P.L.) 106-65 to establish Administration specific policies, unless disapproved by the Secretary.

In accordance with the responsibilities and authorities assigned by Executive Order 12344, codified at Title 50 U.S.C. sections 2406 and 2511, and to ensure consistency throughout the joint Navy/DOE Naval Nuclear Propulsion Program, the Deputy Administrator for Naval Reactors (Director) will implement and oversee requirements and practices pertaining to this Directive for activities under the Director's cognizance, as deemed appropriate.

- b. DOE Contractors. This Order does not apply to contractors. However, DOE contractor employees may attend certain training on a space availability basis only. Contractors who attend DOE training must have a DOE sponsoring organization. The DOE sponsor is responsible for any costs that may be required or incurred for the contractor attending the training.
- c. Equivalencies/Exemptions for DOE O 360.1C. Requests for exemption to this Order must be submitted in memorandum form to the Office of the Chief Human Capital Officer. The memorandum must include the basis for the exemption,

identify the requirement for which the exemption is sought, and request a timeframe, as applicable.

Exemption: This directive does not apply to the Bonneville Power Administration.

4. REQUIREMENTS.

a. General.

- (1) Each DOE element must have a training policy and procedures that establish an integrated cycle of organizational needs analysis, training planning, needs assessment, resource allocation, design and delivery, evaluation, and reporting processes consistent with the requirements and responsibilities of this Order.
- (2) Each DOE element must complete an annual training summary report on element training objective, cost and training conducted under its authority each fiscal year.
- (3) Training funding must be included in budget submissions, training needs must be prioritized, and resources allocated accordingly in DOE element training plans. At a minimum, in allocating resources to support training programs, due consideration must be given to:

Goals specified in DOE strategic plans

- (a) DOE element's training objectives
- (b) Training required by law, regulation, DOE directive, technical qualification, or performance-based competency standard.
- (c) Training, development, and educational needs as determined through each DOE element's training needs assessment and if applicable, competency-based skills gap analysis.

b. Individual Development Planning.

(1) Mandatory Individual Development Plans (IDP)

- (a) Except for the exclusions in paragraph 4.b.1.b), all DOE employees must have individual development plans (IDPs) in place within 60 days of joining DOE, changing positions (reassignments, promotions, and/or details), or the beginning of a new performance cycle.

- (b) When supervisors and employees jointly determine and record that individual development planning would result in little or no benefit to DOE because of an employee's position, expertise, career status, performance level, or personal circumstances, individual development planning is not required.

(2) Mandatory Executive Development Plans (EDP)

Each agency must establish a program or programs for the continuing development of its senior executives in accordance with 5 U.S.C 3396(a). Such agency programs must include preparation, implementation, and regular updating of an Executive Development Plan (EDP) for each senior executive.

c. Training Requests, Approvals, and Authorizations.

- (1) All training must be approved and authorized in accordance with this Order and, if available, the DOE element's training policy and procedures based on resources available. Each DOE element must ensure completion of all requests, supervisory approvals, and authorizations for training in accordance with its training policy and procedures.
- (2) When a DOE element does not have a policy and/or procedures, training participants will follow the requirements in this Order.
- (3) Non-Federal personnel on Intergovernmental Personnel Act (IPA) agreements with DOE, students hired under a student employment program, and civilian employees of other Federal agencies on detail to DOE will have training approved consistent with the terms of their assignments, this Order, and, if available, the DOE element's policy and procedures.

d. Academic Degree Training Programs. Employees can be competitively selected and assigned to academic degree training, and the cost can be funded from appropriated or other available funds. Programs and participants must meet all of the following criteria:

- (1) The program is part of a DOE planned and coordinated employee development program; meets an identified DOE training need, resolves an identified DOE staffing problem, or accomplishes a goal(s) in the DOE strategic plan.
- (2) The program is accredited and is provided by an accredited college or university.
- (3) The participant is neither a Presidential appointee, nor occupying or seeking to qualify for appointment to a Schedule C position.

- (4) A Continuing Service Agreement (see section 4.f.) must be executed and signed by the participating employee and approving DOE element official.
- e. Long-term and/or Extended Training. Long-term or extended training activities, programs and participants must meet the following criteria:
 - (1) The training is the most cost effective and economical way to provide or improve needed administrative, managerial, scientific, and/or technical competencies to meet present and projected program requirements.
 - (2) The participant has a significant competency gap(s) that the training can reduce or eliminate.
 - (3) The participant meets or has the potential to meet current and future workforce needs.
- f. Continued Service Agreement. In accordance with 5, Code of Federal Regulation (CFR) 410.309(a) any employee selected for training exceeding e.g., 180 hours (or a lesser time limit set by the DOE element) must sign a written agreement to continue his/her employment with DOE. Additional information on continued service agreements can be found in Chapter VI of the Federal Employee Training Desk Reference including information on how to compute the length of continued service based on the training time. The Federal Employee Desk Reference is available in the Office of Learning and Workforce Development.
 - (1) When training involves particularly high cost or other unusual factors, the required service period may be extended by the Head of the DOE element or designated official with the concurrence of the servicing human resources office.
 - (2) A participant who fails to fulfill the terms of a continued service agreement is required to reimburse DOE for the percentage of the agreement not completed. However, the Head of the DOE element or designated official may waive the element's right of recovery with concurrence of the servicing human resources office.
- g. Cancellation of Training. The timely notification of training cancellations or changes is a shared responsibility. The Office of Learning and Workforce Development commits to 14 calendar days advance notice of training cancellations to employees registered for all Corporate Training Programs. DOE elements are encouraged to exercise the same practice of allowing at least 14 calendar days advance notice to cancel or change a scheduled training event, except for the following reasons:

- (1) Notification of less than 14 calendars days due to an insufficient number of participants, the unavailability of the instructor, inclement weather, or any personal emergency.
 - (2) The participant is precluded from attending due to a problem traveling to the event or experiences a personal emergency, in which case the employee will inform their supervisor and training contact as soon as possible of the problem.
- h. Training Completion and Evaluation. Participants must adhere to the following requirements to receive credit for completed training:
 - (1) Attendance must meet the training event sponsor's attendance requirement.
 - (2) Upon completion of a training event, participants must provide a copy of their grade notification and/or other evidence of satisfactory completion to their supervisors, approving officials or training official.
 - (3) Participants must complete an end-of-course evaluation and provide it to the instructor or approving official or training official.
 - (4) Participants who fail to complete scheduled training must reimburse the DOE element that paid for the training for any tuition and/or other training costs incurred, unless completion requirements are waived by the DOE element with concurrence of the servicing human resources office.
- i. DOE Employee Training Records. The Corporate Human Resource Information System (CHRIS) is DOE's official training administration and recordkeeping system. Detailed information on CHRIS is available at: http://chris.doe.gov/Training_Admin/index.cfm
 - (1) All training records, including IDPs, continued service agreements and correspondence, must be initiated, approved, and recorded in DOE's CHRIS or Employee Self Service (ESS) systems.
 - (2) For each instance of training, the following information must be maintained and be accessible to employees, approving officials, training officials, and CHRIS system administrators:
 - (a) Employee's name and identification number
 - (b) Approving official's(s') name(s) and certification(s)
 - (c) Objective(s)
 - (d) Training event description, source, location, and start and end dates

- (e) Cost
 - (f) Duty and non-duty training hours
 - (g) Evaluation/completion documentation
 - (3) An employee's training record must be available to the employee upon reassignment, transfer, or separation and an employee must be able to access a complete copy of their training record while employed by DOE.
 - (4) Training records associated with a DOE element's Technical Qualifications Program must be maintained in accordance with DOE O 426.1, *Federal Technical Capability*.
 - (5) A memorandum requiring repayment of training costs incurred due to unsuccessful completion of training or a continued service obligation must be maintained in the employee's e-OPF and part of the DOE payroll service provider's records until repaid or waived.
 - (6) Records related to training shall be retained in accordance with the National Archives General Schedules of Records Management at <http://www.archives.gov/records-mgmt/grs/>.
- j. Payment of Training Expenses. Payment of any or all costs related to training is discretionary, but if determined to be appropriate, it is paid in accordance with 5 U.S.C. 4109, this Order, and, if applicable, the DOE element's policy and procedures. A DOE element may pay for professional credentials in accordance with 5 U.S.C. 5757.
- k. Mandatory Supervisory Training. Supervisors must meet the following minimum training requirements: training:
- (1) All newly appointed first-level supervisors must complete a minimum of 80 hours of appropriate training within 2 years of appointment to an initial supervisory position. A total of 40 hours of supervisory training must be completed within the first year. The 80 hours of training will include, but is not limited to, such topics as:
 - (a) Mentoring
 - (b) Employee development
 - (c) Conducting performance appraisals
 - (d) Dealing with poor performers
 - (e) Developing results focused critical elements

- (2) Non-probationary supervisors (supervisors with more than 2 years experience who have met the 80 hours requirement) must complete a minimum of 8 hours of continuing education in a topic related to supervisory development each fiscal year. This training will assist supervisors in maintaining a current knowledge and understanding of policies and practices that influence their supervisory duties and responsibilities.

5. RESPONSIBILITIES.

a. The Secretary.

- (1) Approves training requests for the Deputy Secretary, the Under Secretaries, and Presidential appointees.
- (2) Concurs in training assignments involving the White House, the Office of Management and Budget, or the Congress prior to the beginning date of the training. A memorandum from the Head of the DOE Element requesting concurrence must be sent to the Secretary with a copy of the approved and authorized training request as an attachment.
- (3) Approves the following:
 - (a) Training agreements governing multi-element workforce development programs (three or more participating DOE elements)
 - (b) Research designed to improve DOE-wide training programs

b. Chief Human Capital Officer (CHCO).

The CHCO is responsible for strategically aligning the agency's workforce to its missions through effective management of human capital policies and programs.

c. Director, Learning and Workforce Development & Chief Learning Officer (CLO)

The CLO is responsible for ensuring that the Department's employees possess the breadth of skills and competencies to accomplish the mission of the Department. The CLO also participates in training policy development and implementation to ensure that local implementation procedures put in place by DOE elements are consistent with requirements herein, to include knowledge of the Federal Employee Training Desk Reference. Additional guidance on the responsibilities of the CHCO and the CLO can be found online at <http://humancapital.doe.gov/about.htm>.

d. Administrator, NNSA.

Through the Office of Human Capital Management/Talent and Leadership Development Division, the NNSA Administrator is responsible for developing NNSA's talent, leadership, employee training, career development, and succession planning policies and programs.

e. Assistant Secretary for Policy and International Affairs.

The Assistant Secretary for PIA ensures that training involving foreign entities, travel, facilities, or individuals receives appropriate State Department concurrence.

f. Heads of DOE Elements.

- (1) Establish a supplemental policy and procedures based on this Order.
- (2) Identify and prioritize critical needs.
- (3) Provide resources for and plan, assess, and report on training consistent with DOE strategic planning, budget, succession planning, and training administration processes.
- (4) Submit reports annually and as requested.
- (5) Ensure that mandatory training requirements for employees, managers, and supervisors are satisfied.
- (6) Designate training approval officials.
- (7) Provide subject-matter experts to support DOE-wide training and development needs, such as executive, management and supervisory development.
- (8) Establish internal procedures for reviewing long-term and extended training and DOE-element-sponsored programs and events.
- (9) Authorize non-U.S. training involving only Mexican and/or Canadian locations, travel, or entities.
- (10) Provide a memorandum to the Secretary for training assignments involving the White House, the Office of Management and Budget or Congress.

g. DOE-Element Training Officials.

- (1) Work with the Office of Learning and Workforce Development, element managers, and executives to ensure that organizational learning needs are met.
- (2) Establish training policies, procedures, and agreements that comply with applicable laws, regulations and this Order.
- (3) Ensure timely approval, authorization, and/or concurrence on training requests.
- (4) Provide accommodations for participants with disabilities.

h. The Federal Technical Capability (FTC) Panel.

The Federal Technical Capability operates according to the functions outlined in DOE O 426.1, *Federal Technical Capability*, dated 11-19-09, with the primary function being to oversee, implement, and operate the Federal Technical Capability program (FTCP), including the training requirements for that program.

i. Managers and Supervisors.

- (1) Ensure that employees comply with applicable workforce training requirements and agreements.
- (2) Participate in performance and training needs assessments to identify training opportunities for themselves and their employees.
- (3) Participate in the development and maintenance- of IDPs for themselves and their employees.
- (4) Ensure that selected training and development is mission-oriented, appropriate, and cost-effective.
- (5) Provide resources to meet training needs of their employees.
- (6) Nominate employees for long-term and extended training opportunities where applicable.
- (7) Review and maintain accurate training records, documenting performance requirements and competencies related to training.
- (8) Ensure timely requests, approvals, authorizations, and notifications of training.
- (9) Ensure that training complies with applicable laws, regulations, policies, requirements, and provisions of workforce training agreements.

j. Employees.

- (1) Assume responsibility to collaborate with their supervisors in planning for their continued professional development.
- (2) Request training in accordance with DOE-element policy and procedures.
- (3) Maintain their IDP.
- (4) Attend and complete required/assigned training.
- (5) Comply with continued service agreements.

6. REFERENCES.

- a. 5 U.S.C. 4103 requires that training programs be established to increase economy and efficiency in the Federal Government and to raise the standards of employees' performance of their official duties to the maximum possible level of proficiency. 5 U.S.C. 41 authorizes training in Government and non-government facilities and the acceptance of funds by employees for training from certain non-Government organizations.
- b. 42 U.S.C. 4742, authority for Federal agencies to permit State and local government officials and employees to attend and pay for all, part, or none of the cost of professional, technical, and administrative training provided to Federal employees, with payments credited to the appropriation or fund used for paying the training costs.
- c. 5 CFR Part 410, Training
- d. 5 CFR Part 330, Subpart F, Agency Career Transition Plans.
- e. O. 11478, Equal employment opportunity in the Federal Government, August 8, 1969 Federal Government provisions on equal opportunity in training programs.
- f. DOE O 426.1, *Federal Technical Capability*, dated 11-19-09, defines requirements and responsibilities for meeting the Department of Energy (DOE) commitment to recruiting, deploying, developing, and retaining a technically competent workforce that will accomplish DOE missions in a safe and efficient manner through the Federal Technical Capability Program (FTCP).
- g. DOE O 313.1, *Management and Funding for the Department's Overseas Presence*, dated 11-19-09.
- i. DOE Federal Employees Training Desk Reference, dated May 2011 available at: http://www.opm.gov/hrd/lead/pubs/handbook/Training_policy_hndbk07.pdf

7. CONTACT. Questions concerning this Order may be referred to the Office of the Chief Human Capital Officer, Office of Learning & Workforce Development at 202-586-5946.

BY ORDER OF THE SECRETARY OF ENERGY:



DANIEL B. PONEMAN
Deputy Secretary