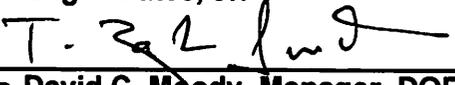


EMPLOYEE TRAINING AND DEVELOPMENT

AUTHOR:  _____
Edgar Gates, Jr.

APPROVAL SIGNATURE:  _____
FOR David C. Moody, Manager, DOE-SR

EFFECTIVE DATE: AUG 14 2013 _____

PRIMARY DIVISION OFFICE: Office of Human Capital Management

CHANGE SUMMARY LOG

Description of Change	Effective Date
<p>This revision cancels all previous revisions and incorporates the following:</p> <ul style="list-style-type: none">• Updates title;• Updates organizational changes;• Updates acronyms and definitions;• Updates reference documents;• Updates electronic forms;• Incorporates SRP 08-01, "DOE-SR Continuing Education Reimbursement Policy;"• Provides guidance for unsuccessful training completion;• Adds process to allocate training funds evenly over each quarter; and,• Includes Program/Process Flow Charts.	<p>8-14-13</p>

TABLE OF CONTENTS

1.0	PURPOSE AND SCOPE	5
2.0	REFERENCES	5
3.0	ATTACHMENT LISTING	6
4.0	ACRONYMS AND DEFINITIONS	7
4.1	Acronyms	7
4.2	Definitions	7
5.0	GENERAL	11
6.0	RESPONSIBILITIES	11
6.1	Manager, DOE-SR	11
6.2	Managers/Supervisors	12
6.3	Employees	12
6.4	Office of Human Capital Management (OHCM)	13
6.5	Office of the Field Chief Financial Officer (CFO)	13
7.0	REQUIREMENTS	14
7.1	Individual Development Plan (IDP)	14
7.2	Training Needs Assessment (TNA)	15
7.3	Training Plan	16
7.4	Training Request (TR)	17
7.5	Continuing Education Requests/Responsibilities	18
7.6	Training Course Attendance	20
7.7	Cancellation of Training or Continuing Education Courses	20
7.8	Evaluation	21
7.9	Training Budget	21
7.10	Payment for Costed Learning Activity	22
7.11	Professional Certification/Registration Process	22
8.0	RECORDS	23
8.1	Records Control	23
8.2	Records Generated	23

TABLE OF CONTENTS (CONT'D)

Attachment A	DOE-SR Organizational Training and Continuing Education Priorities	26
Attachment B	DOE-SR Required/Mandatory Training Requirements	28
Attachment C	SR Form 311, "Employee's Agreement to Continue In Service"	29
Attachment D	SR Form 347, "Request For Release of Privacy Act or Official Use Only (OUO) Information"	30
Attachment E	SR Form 371, "Request for Reimbursement of Professional Certification or Registration Expenses"	31
Figure 1	CHRIS Training Registration Process	32
Figure 2	CHRIS Training Registration Process (Continuing Education)	33
Figure 3	Professional Accreditation (License/Certification) Reimbursement Process	34

1.0 **PURPOSE AND SCOPE**

1.1 **PURPOSE**

This procedure assigns responsibilities and describes the requirements and processes associated with the administration and documentation of training and continuing education programs and courses for the U.S. Department of Energy Savannah River Operations Office (DOE-SR) Federal employees. This procedure ensures a program is in place to respond to the training and continuing education needs of DOE-SR Federal employees; the program is administered in a consistent, fair, and cost-effective manner; and complete, accurate training records are established and maintained in a centralized record-keeping system.

1.2 **SCOPE**

This procedure applies to all DOE-SR Federal employees. The National Nuclear Security Administration – Savannah River Site, consisting of the Savannah River Field Office (SRFO) and the Office of Fissile Materials Disposition (NA-26), may elect to adopt this procedure for the conduct of their business.

2.0 **REFERENCES**

- 2.1 Public Law 107-107, Section 1112, “Payment of Expenses to Obtain Professional Credentials”
- 2.2 The Government Employees Training Act (GETA) of 1958, as amended
- 2.3 Title 5, United States Code (U.S.C.), Chapter 41, “Training”
- 2.4 Title 5, Code of Federal Regulations (CFR) Part 213, “Excepted Service”
- 2.5 Title 5, Code of Federal Regulations (CFR) Part 410, “Training”
- 2.6 Title 5, Code of Federal Regulations (CFR) Part 412, “Executive, Management, and Supervisory Development”
- 2.7 Title 5, Code of Federal Regulations (CFR) Part 1315, “Prompt Payment”
- 2.8 DOE Order (O) 360.1C, “Federal Employee Training”
- 2.9 DOE Order (O) 414.1D, “Quality Assurance”
- 2.10 DOE-HDBK-1074-95, “Alternative Systematic Approaches to Training”
- 2.11 DOE-HDBK-1103-96, “Table-Top Needs Analysis”
- 2.12 DOE-HDBK-1200-97, “Guide to Good Practices for Developing Learning Objectives”
- 2.13 DOE-HDBK-1204-97, “Guide to Good Practices for the Development of Test Items”

- 2.14 DOE-HDBK-1205-97, "Guide to Good Practices for the Design, Development, and Implementation of Examinations"
- 2.15 DOE-HDBK-1206-98, "Guide to Good Practices for On-The-Job Training"
- 2.16 Savannah River Operations Office Manual (SRM) 300.1.1B, Chapter 6, Section 6.1, "Technical Qualification Program"
- 2.17 Savannah River Operations Office Manual (SRM) 300.1.1B, Chapter 7, Section 7.1, "Alternative Work Schedules"
- 2.18 Savannah River Operations Office Manual (SRM) 400.1.1E, "DOE-SR Integrated Safety Management System (ISMS) Description Manual"
- 2.19 Savannah River Operations Office Manual (SRM) 414.1.1D, "Quality Assurance Program Manual"
- 2.20 Savannah River Operations Office Implementing Procedure (SRIP) 200, Chapter 243.1, "Records Management Program"
- 2.21 Savannah River Operations Office Implementing Procedure (SRIP) 200, Chapter 251.4, "DOE-SR Directives Program"

3.0 ATTACHMENT LISTING

<u>Attachment</u>	<u>Title</u>	<u>Page</u>
A	DOE-SR Organizational Training and Continuing Education Priorities	26
B	DOE-SR Required/Mandatory Training Requirements	28
C	SR Form 311, "Employee's Agreement to Continue In Service"	29
D	SR Form 347, "Request For Release of Privacy Act or Official Use Only (OUO) Information"	30
E	SR Form 371, "Request for Reimbursement of Professional Certification or Registration Expenses"	31
Figure 1	CHRIS Training Registration Process	32
Figure 2	CHRIS Training Registration Process (Continuing Education)	33
Figure 3	Professional Accreditation (License/Certification) Reimbursement Process	34

4.0 **ACRONYMS AND DEFINITIONS**

4.1 **ACRONYMS**

ACMP	Acquisition Career Management Program
CAT	Consolidated Annual Training
CBT	Computer-Based Training
CHRIS	Corporate Human Resource Information System
CSRA	Central Savannah River Area
DOE	U. S. Department of Energy
DOE-HQ	Department of Energy Headquarters
DOE-SR	Department of Energy Savannah River Operations Office
FRAP	Functions, Responsibilities, and Authorities Procedure
GET	General Employee Training
IDP	Individual Development Plan
O/D	Office/Division
OHCM	Office of Human Capital Management
OJT	On-the-Job Training
OPMP	Organizational Performance Management Plan
POWER	Primary Organizational Web-Based Employee Records
SF	Standard Form
SRIP	Savannah River Operations Office Implementing Procedure
SRP	Savannah River Operations Office Policy
SME	Subject Matter Expert
TNA	Training Needs Assessment
TR	Training Request
TQP	Technical Qualification Program
TQR	Technical Qualification Record

4.2 **DEFINITIONS**

- 4.2.1 **Approving Official**: A DOE-SR employee, generally a first- or second-line supervisor, with the delegated authority to approve training and the responsibility to ensure training and continuing education participation and costs are consistent with the DOE-SR organizational training and continuing education priorities.
- 4.2.2 **Authorizing Official**: The Director, Office of Human Capital Management (OHCM), has the delegated authority to authorize training and continuing education fund expenditures that meet Federal requirements.
- 4.2.3 **Computer-Based Training (CBT)**: Training in which the trainee receives instruction, makes responses, and receives feedback via interaction with a computer.
- 4.2.4 **Conference**: A learning activity such as a meeting, seminar, retreat, symposium, or similar event during which information exchange is primarily accomplished through short duration topical presentations and networking between attendees. Conferences can be technical or non-technical in purpose and are generally characterized by the following:

- Conference participation and student acquisition of learning is not monitored or evaluated by qualified authorities;
 - Conducted presentations are not compliant with systematic approach to training methodology and criteria; and,
 - Conference presentations are not evaluated by attendees in relation to instructor performance or the adequacy of training materials.
- 4.2.5 **Continued Service Agreement:** SR Form 311, “Employee’s Agreement to Continue in Service,” which is a formal, written agreement between an employee and DOE-SR to remain in service for a period of time equal to three times the hours spent in the training activity. This agreement is required for all training and education activities that exceed 160 hours in a single program, or a group of concurrent activities with a common purpose (e.g., Competed Development Programs), during which time an employee receives a salary from DOE (See DOE O 360.1C, “Federal Employee Training”).
- 4.2.6 **Continuing Education:** Courses taken from nationally accredited colleges, universities, or technical schools (e.g., graduate and undergraduate), on Site and off Site. Courses and homework assignments are accomplished during non-duty work hours. The courses may also be web-based or computer-based. Continuing education courses support employee self-development or maintenance of competencies deemed essential to the employee’s current position within the organization, and support the successful accomplishment of the DOE-SR mission.
- 4.2.7 **Corporate Human Resources Information System (CHRIS):** The Department of Energy’s corporate training system of record which is a consolidated, centralized training system database used to manage training records and administer training activities for the DOE-SR training community.
- 4.2.8 **Costed Learning Activity:** A learning activity in which direct costs are incurred (e.g., costs for registration, fees, books, materials) and/or indirect costs (e.g., costs for travel or per diem).
- 4.2.9 **Course:** A block of instruction with defined learning objectives and learning activities designed to increase participant knowledge, skills, and abilities.
- 4.2.10 **Course Catalog:** An electronic listing of all DOE training courses that have been categorized and described in CHRIS and are derived from organizational, occupational, and individual training needs assessments.
- 4.2.11 **Equivalency:** The acceptance and approval of previous training and continuing education courses or job experience that demonstrates knowledge, skills, or abilities that can be used in lieu of a specific training or continuing education course(s), with the exception of required/mandatory courses.
- 4.2.12 **Group Training:** Training and continuing education courses that are funded and procured by OHCM and delivered at zero cost to individual organizations to meet the cross-cutting training needs of DOE-SR employees.

- 4.2.13 **Human Resources (HR) Specialist**: An individual, designated by the Director, OHCM, to authorize training requests (TRs); conduct individual, organizational and occupational training needs assessments; develop and administer the annual training plan; review and evaluate course/instructor materials; order training services with vendors for purchased training; and develop and maintain Site-wide, training-related procedures and guidelines in accordance with DOE O 360.1C, "Federal Employee Training".
- 4.2.14 **Individual Development Plan (IDP)**: An individually developed plan, established between a supervisor and employee, that outlines the employee's short- and long-range training and development goals and objectives and the means (e.g., job specific training, developmental assignments, On-The-Job Training), necessary for achieving those goals and objectives within specified timeframes. IDPs are completed during the annual performance plan process, or when a performance plan change is required.
- 4.2.15 **Job Related Training**: Based on position description, training that relates to the duties being performed by an employee.
- 4.2.16 **Job Required Training**: Based on the position description, training that is mandated by Federal, State or local law that if not taken, would jeopardize an employee's ability to perform the duties within the position description.
- 4.2.17 **Learning Activity**: Any structured activity that promotes the acquisition of knowledge, skills, or abilities. A learning activity can be accomplished through correspondence courses, classroom work, conference participation, self-study, On-The-Job Training, CBT, or other methods or combinations.
- 4.2.18 **Local Training**: Training that takes place in the Central Savannah River Area (CSRA) or local commuting area.
- 4.2.19 **Non-Costed Learning Activity**: A learning activity in which no direct or indirect costs are incurred. These courses are primarily funded by DOE-HQ, the National Training Center or through the OHCM Group Training Budget and taught by an accredited vendor, a local subject matter expert (SME), or provided by the Site contractor (e.g., Radiation Worker Training, General Respiratory Training).
- 4.2.20 **On-the-Job Training (OJT)**: A structured learning activity that occurs as an integral part of the work process of an organization. OJT includes instruction or coaching by supervisors and/or co-workers in specific job assignments.
- 4.2.21 **Performance Plan**: The document that establishes the employee's performance elements and associated performance standards, in accordance with DOE-SR and the applicable Organizational Performance Management Plan (OPMP), and records supervisory specific job/task performance expectations. At a minimum, performance elements will be written at the "Meets Expectations" level.
- 4.2.22 **Professional Certification or Registration**: A job-related certification or registration that signifies a documented level of competency in a given area of expertise, such as the relationship between engineering and certification for a professional engineer.

- 4.2.23 **Reimbursement of Professional Certifications or Registrations**: Compensation paid to an employee for expenses incurred as a result of obtaining a job-related professional certification or registration.
- 4.2.24 **Requester**: A DOE-SR employee that identifies a training or continuing education need and initiates a training request (TR) in CHRIS Workflow.
- 4.2.25 **Satisfactory Continuing Education Course Completion**: An established requirement for employees to obtain a grade of “C” or better for an undergraduate continuing education course and “B” or better for a graduate-level continuing education course.
- 4.2.26 **Satisfactory Training Course Completion**: An established requirement for employees to attend a minimum of 80 percent of a course of more than 8 hours in length, 100 percent for courses 8 hours or less, and a “pass” examination grade (where applicable).
- 4.2.27 **Standard Form 182 (SF 182), “Authorization, Agreement and Certification of Training”**: The document that is used to authorize, fund, and certify a costed training or continuing education activity.
- 4.2.28 **Self-Study Training**: Any learning activity that is self-paced and/or self-directed such as correspondence courses.
- 4.2.29 **Subject Matter Expert (SME)**: An individual qualified and/or experienced in performing a particular task. Someone who, by education, training, and/or experience, is a recognized expert on a particular subject, topic, or system.
- 4.2.30 **Supervisor**: An individual who directs subordinate employees in their work performance, ensures the quality and quantity of their work, approves training and continuing education requests, and validates that the transfer of learning has occurred upon completion of the learning activity (e.g., Division Director, Office Director, Assistant Manager, or Manager).
- 4.2.31 **Technical Qualification Record (TQR)**: A document used to record an employee’s qualification requirements and progress toward completion of those requirements.
- 4.2.32 **Training**: A structured learning or instructional event attended by an employee for the purpose of acquiring knowledge, skills, and abilities, which will improve work performance in support of an individual’s currently assigned position or the mission of their currently assigned organizational unit. Training can be provided by outside vendors or by other competent individuals within or outside of the Government.
- 4.2.33 **Training Curriculum**: A specific series of courses designed for qualification or certification completion and/or program completion to enhance and improve job competence.
- 4.2.34 **Training Needs Assessment (TNA)**: A systematic study conducted by a Human Resources (HR) Specialist upon completion of the Individual Development Plan (IDP) process to identify training and development needs.

4.2.35 **Training Schedule**: A current electronic listing of DOE-SR training.

4.2.36 **Vendor**: Any person or organization that provides training to DOE-SR employees.

5.0 **GENERAL**

5.1 This procedure defines the requirements and processes associated with training and continuing education activities. The flow of the training process begins with organizational, occupational, and/or individual training needs assessments and ends with records maintenance.

5.2 The responsibilities of senior management, the supervisor, employee, OHCM and CFO are also defined within this document. Legislation has been passed that allows for reimbursement of expenses for obtaining and maintaining job-related professional certifications or registrations. Guidance for implementing this legislation is included in this document. Several attachments, reflecting the diverse topics covered by this document, have been included and are indexed in the Attachment Listing. Topics covered by this procedure are:

- A. Conducting organizational, occupational and/or individual training needs assessments;
- B. Developing and administering the annual training and education plan;
- C. Scheduling and advertising training and education opportunities;
- D. Managing and administering the training and continuing education registration process;
- E. Administering the professional certification/registration process; and,
- F. Managing student and course records.

6.0 **RESPONSIBILITIES**

6.1 **MANAGER, DOE-SR**

6.1.1 Establishes, budgets for, operates, maintains, and evaluates a program for training DOE-SR employees.

6.1.2 Determines and approves procedures governing DOE-SR employee training that also establishes the minimum requirements for continued service agreements.

6.1.3 Delegates authority to approve training at the lowest possible level.

6.1.4 Exercises and/or delegates authority to waive the requirement to reimburse tuition and related training costs to the Federal Government for unsuccessful training completion.

6.1.5 Establishes priorities for training DOE-SR employees and make provisions for funds and staffing according to those priorities.

6.2 MANAGERS/SUPERVISORS

6.2.1 Ensure employees are trained and qualified to support the goals and missions of their organization.

6.2.2 Participate in annual training needs assessments and related workforce planning to identify training requirements and opportunities for their employees.

6.2.3 Annually discuss training needs with each employee in regard to job requirements, including, as appropriate, technical qualification standards and the competencies needed to meet those requirements; ACMP/PMCDP courses needed to obtain certification; continuing training/education needs to maintain qualification/certification.

6.2.4 Participate in the annual development and maintenance of Individual Development Plans (IDP) for themselves and their employees. Ensure that IDPs identify training and continuing education activities that meet organizational, occupational and/or individual needs to support the goals and missions of the organization.

6.2.5 Provide resources to meet the training needs of their employees.

6.2.6 Ensure training and continuing education activities are consistent with the DOE-SR organizational training and continuing education priorities (See Attachment A).

6.2.7 Ensure timely approval, of training requests in the Corporate Human Resources Information System (CHRIS) (See Figure 1).

NOTE: A supervisor can delegate authority to approve training to a designated employee. The designated employee will need to complete a CHRIS Workflow Approver User ID Request form to approve TRs. Designated employees may not approve their own TRs.

6.2.8 Ensure the fair and equitable distribution of training opportunities.

6.2.9 Provide specific feedback to employees during the performance plan quarterly progress review and annual rating of record regarding compliance with documented IDP training requirements.

6.3 EMPLOYEES

6.3.1 Assume responsibility to collaborate with their supervisors in planning for their continued professional development.

6.3.2 Prepare an annual IDP that identifies training and continuing education needed to improve individual and organizational performance and identifies methods to meet those needs, effectively and efficiently.

- 6.3.3 Participate in performance and training needs assessments.
- 6.3.4 Ensure timely submission of training requests (TR) in CHRIS. (Figure 1)
- 6.3.5 Ensure completion of training assignments, evaluation requirements, and continued service obligations, as applicable.
- 6.3.6 Comply with continued service agreements.

6.4 **OFFICE OF HUMAN CAPITAL MANAGEMENT (OHCM)**

- 6.4.1 Develops and maintains procedures and administers a program governing DOE-SR employee training, according to 5 USC, Chapter 41, Training; 5 CFR Part 410, Training; 5 CFR Part 412, Executive Management and Supervisory Development; and, DOE O 360.1C, Federal Employee Training.
 - 6.4.2 Conducts an annual training needs assessment.
 - 6.4.3 Prepares an annual training plan based on results of the annual training needs assessment and management priorities
 - 6.4.4 Procures courses to address critical training needs and advertise approved courses to inform employees of the need to submit a TR in CHRIS.
 - 6.4.5 Manages the Group Training budget to ensure priority 1 and 2 training needs receive first consideration and remaining funds are effectively applied to maximize the procurement of priority 3 and 4 training needs.
 - 6.4.6 Manages the Continuing Education budget to ensure that funds are available throughout the fiscal year and to ensure a fair and equitable distribution among employees desiring to participate in the program.
 - 6.4.7 Reviews and authorizes training and continuing education requests based on availability of Group or Continuing Education funds and a determination that the training meets legal and administrative requirements.
 - 6.4.8 Maintains a record of completed training for courses attended by employees and generates reports as needed.
 - 6.4.9 Prepares an annual training summary report at the end of each fiscal year.
 - 6.4.10 Reviews and authorizes requests for employee professional certification/registration.
- #### 6.5 **OFFICE OF THE FIELD CHIEF FINANCIAL OFFICER (CFO)**
- 6.5.1 Provides guidance and assistance to managers/supervisors on the alignment of funds to cover the cost of training.

- 6.5.2 Reviews and authorizes training and continuing education requests based on availability of Organizational, Group, and/or Continuing Education funds.
- 6.5.3 Processes approved SF 182, Authorization Agreement and Certification of Training, to effect the payment of the training prior to the start date of the training.
- 6.5.4 Processes approved requests for reimbursement of employee professional certification/registration.

7.0 **REQUIREMENTS**

7.1 **INDIVIDUAL DEVELOPMENT PLAN (IDP)**

- 7.1.1 Preparation of an IDP is mandatory for all employees within 60 days of joining DOE, changing positions (reassignments, promotions, and/or details), or at the beginning of a new performance cycle.

NOTE: When supervisors and employees jointly determine and record that individual development planning would result in little or no benefit to DOE-SR because of an employee's position, expertise, career status, performance level, or personal circumstances, individual development planning is not required. Training requests submitted by employees who **do not** complete an IDP will not be processed for authorization, without a statement of justification from the employee's supervisor.

- 7.1.2 The following is directional guidance in preparing and submitting an IDP:
 - A. Employees and supervisors work together to identify/discuss the specific competencies that are most relevant to the employee's current position;
 - B. Jointly identify organizational and occupational goals and objectives;
 - C. Jointly identify performance priorities;
 - D. Assess individual professional and personal job talents and competencies;
 - E. Review competencies associated with the position to identify any position specific skill gaps or areas of improvement;
 - F. Establish realistic developmental objectives to enhance necessary competencies;
 - G. Identify and select developmental activities to enhance competencies;
 - H. Prepare an IDP that communicates developmental needs and training activities using the online tool within CHRIS/ESS; and,
 - I. Finalize and approve the IDP which serves to validate that:

1. DOE-SR organizational training and continuing education priorities (See Attachment A) were consistently applied in constructing the IDPs for all employees within the organizational unit;
2. Learning activities identified in the IDP address:
 - a) Employee performance or behavior improvement needs;
 - b) Opportunities to enhance employee capabilities in support of the goals, objectives, and missions of the organization;
 - c) Compliance with TQP/ACMP/PMCDP initial qualification/certification or requalification/recertification requirements, (if applicable); or,
 - d) Organizational succession planning needs.

NOTE: The IDP documents the employee's short- and long-range goals. Each learning activity defined in the IDP is specified for completion within 12 months or three years based on the priority of the need and funding limitations.

7.2 TRAINING NEEDS ASSESSMENT (TNA)

- 7.2.1 The purpose of a training needs assessment is to identify performance requirements and the knowledge, skills, and abilities needed for the DOE-SR workforce to achieve the requirements. An effective TNA will help direct resources to areas of greatest demand. The assessment should address resources needed to fulfill the organizational mission, improve productivity, and provide quality products and services. A needs assessment is the process of identifying the "gap" between performance required and current performance. When a difference exists, it explores the causes and reasons for the gap and methods for closing or eliminating the gap. There are three levels of a TNA (organizational, occupational and individual) that can be performed. The decision for which to perform will be based on the expected/desired outcome.
- 7.2.2 Organizational: Identifies training needs that cross-cut most DOE-SR organizations or are applicable to a majority of DOE-SR employees. The organizational training needs assessment is performed by:
 - A. Soliciting feedback (written and oral) from DOE-SR supervisors and managers;
 - B. Reviewing the 5-Year Workforce Management Plan, and SRM 300.1.1B, Chapter 1, Section 1.1, Functions, Responsibilities, and Authorities Procedure (FRAP);
 - C. Reviewing the DOE-SR Organizational Performance Management Plan (OPMP); and,
 - D. Reviewing DOE-HQ directives, and other applicable source documents (e.g., employment trends, major changes to work processes at DOE-SR, etc.) and analyzing the data, along with any identified management priorities, to identify training needs.

- 7.2.3 Occupational: Identifies training needs that are applicable to specific occupational groups or classification series within the DOE-SR workforce. The occupational TNA is performed by:
- A. Soliciting feedback (written and oral) from DOE-SR supervisors and managers; and,
 - B. Reviewing retirement data contained in the 5-Year Workforce Management Plan, position descriptions, other applicable source documents, and analyzing the data, along with any identified management priorities, to identify training needs.
- 7.2.4 Individual: Identifies training needs that are applicable to specific employees as identified by the employees in coordination with their supervisors during the annual IDP process. Upon completion of the IDP process, the results are correlated to identify targeted training courses and developmental activities for the purpose of selecting and administering training courses that address critical training needs and skill gaps that have cross-cutting DOE-SR application.
- 7.2.5 The results of the TNA will be analyzed to form the basis for an annual training plan for DOE-SR.

7.3 TRAINING PLAN

- 7.3.1 The training plan is published annually and is based on:
- A. Results of the current training needs assessment;
 - B. Previous training needs assessment; and,
 - C. Management priorities.
- 7.3.2 Courses are selected and scheduled for group training which are published in an annual training schedule each January. Unanticipated training needs are procured and advertised throughout the year as they are identified.
- NOTE:** Courses identified by a line organization and paid for utilizing an organization's training budget, must be coordinated through OHCM. A representative from the organization contacts OHCM. OHCM procures, schedules, and coordinates the delivery of the training. Cross-cutting training courses identified by and paid for by other organizations outside of DOE-SR (e.g., DOE-HQ) must also be coordinated through OHCM.
- 7.3.3 When SMEs are used to develop and present training, the SME shall provide the proposed training materials to the OHCM Training Officer at least two weeks prior to class start date for review. Training materials shall consist of the following:
- A. Lesson Plan/Course Outline with course description and objectives;
 - B. Instructional materials, i.e., study guides, handouts; and,
 - C. Course evaluation sheet.

7.3.4 All scheduled courses will be advertised so that employees will have the opportunity to submit a TR in CHRIS.

7.4 TRAINING REQUEST (TR)

7.4.1 Submission of a TR for all training courses, to include NTC and SRNS courses, in CHRIS Workflow (See Figure 1) is the necessary process for employees to receive authorization to attend training. Attendance and successful completion of a training course will be recorded in the employee training history file by the OHCM Training Coordinator. The entire process from beginning to end follows the steps below:

A. Completion of a TR which includes all costs (e.g., tuition, travel, per diem, other expenses), course dates, vendor name and address, and training location, and is:

1. Entered into CHRIS Workflow for supervisory approval a minimum of ten working days prior to the start date of the course; and,
2. Approved by the supervisor and forwarded to OHCM a minimum of five working days prior to the start date of the course. Any TR that is not received by OHCM within the minimum five working days timeframe will be denied without a justifiable reason. If the authorization is denied, an explanation will be provided in the Remarks Section of the TR. CHRIS Workflow will automatically generate an email to the employee and supervisor. SRNS computer based training (i.e., Annual CAT) and other on Site, non-costed training (e.g., Facility Entry Briefings, Drills, Area Access Training) may be attended without processing a TR.

B. Reviewed and authorized by an HR Specialist based on a determination that:

1. The training is job related or job required;
2. The training meets regulatory and administrative requirements (e.g., qualified instructor, well-defined learning objectives); and,
3. All course prerequisites have been met. Training in excess of 160 hours requires the employee to sign an SR Form 311, "Employee's Agreement to Continue In Service," prior to processing the request.

C. Reviewed and authorized by an Accounting Specialist based on a determination that the expenditure of Federal training funds is warranted and that funds are available in the account of the requesting organization;

D. Finalized in CHRIS Workflow by an HR Specialist for registration of the employee in the course. The HR Specialist completes the following steps for each costed course:

1. Generates an SF 182, "Authorization, Agreement and Certification of Training," for direct and/or indirect costs (e.g., travel);
2. Distributes the SF 182 to DOE-SR CFO and the vendor; and,

3. Provides the employee a training confirmation email.
- 7.4.2 Registration for training is the sole responsibility of the HR Specialist. DOE-SR has no liability for any learning activity or associated cost that are not properly approved by the supervisor and authorized by OHCM and CFO in advance of the start date of the course. DOE-SR **will not** pay the cost of training or continuing education activities for which prior written supervisory approval and OHCM/CFO authorizations were not received.
- 7.4.3 Training requests for courses outside of the 48 contiguous states must be approved by the DOE-SR Manager or Deputy Manager(s) based on a documented cost versus benefit analysis.
- 7.4.4 Attendance at a conference may be processed as a formal training activity under 5 U.S.C. Chapter 41 when:
 - A. The announced purpose of the conference is educational or instructional;
 - B. More than half of the time is scheduled for a planned, organized exchange of information between presenters and audience which meets the definition of training in 5 U.S.C. Section 4101;
 - C. The content of the conference is germane to improving individual and/or organizational performance; and,
 - D. Development benefits will be derived through the employee's attendance.
- 7.4.5 Attendance at approved training activity becomes a scheduled tour of duty for the employee.

7.5 CONTINUING EDUCATION REQUESTS/RESPONSIBILITIES

- 7.5.1 The Continuing Education Program is for development/refinement of job-related knowledge or skills of DOE-SR employees. DOE-SR will make a sound mind investment in the continuing education of employees which will improve individual and organizational performance and assist in achieving the mission and goals of Enterprise-SRS. In order to be sound stewards of funding allocations, DOE-SR will pay 100 percent (including tuition, books, materials, and other incidentals), at the rate of \$2,500 per quarter, up to \$10,000 per calendar year total, for each employee enrolled in accredited and approved continuing education activities (i.e., undergraduate and graduate level college courses), pending availability of funds. Only the DOE-SR Manager or Deputy Manager may waive the annual \$10,000 cap. Waivers must be addressed in writing to the DOE-SR Finance Division and a copy must be provided to OHCM. To obtain this support, employees must perform the following:
 - A. Initiate an electronic TR in CHRIS Workflow (See Figure 2) to attend either a job-related or job-required continuing education course at a nationally accredited college or university to include all costs (e.g., tuition, books, lab fees, materials, etc.) and provide a course description. The TR must be initiated a minimum **ten** working days prior to the start date of the course, approved by supervisor, and received by OHCM

- a minimum five working days prior to the start date of the course. Any TR that is not received by the OHCM within the minimum five working days timeframe without a justifiable reason will be denied. If the authorization is denied, an explanation will be provided in the Remarks Section of the TR. CHRIS Workflow will automatically generate an email to the employee and supervisor;
- B. Ensure appropriate organizational training priority is identified on the TR and that it supports the DOE-SR Organizational Training and Continuing Education Priorities (See Attachment A);
 - C. Ensure all course prerequisites have been met;
 - D. Ensure TRs have been approved via CHRIS Workflow by the supervisor, OHCM, the Finance Division, and the OHCM Training Coordinator, and that an approved SF 182, "Authorization, Agreement and Certification of Training", has been received prior to registering for the approved course; and,
 - E. Provide the approved SF 182 to the Finance Division along with the original invoice/billing statement (including tuition, books, materials, and other incidentals), prior to the start date of the course, to effect the payment.
- 7.5.2 Travel is not authorized in conjunction with continuing education courses unless the course is job-required. To ensure the availability of funding throughout the fiscal year, funds will be equally divided and allocated over the four quarters of the fiscal year. To exercise fairness in the distribution of funds, an employee will be limited to submitting a TR for only one course per fiscal year quarter. Approval of all TRs will be contingent upon the availability of funds at the time, within the quarter submitted.
- 7.5.3 Within 30 calendar days after a continuing education course ends, the employee shall provide their supervisor, the Finance Division and the OHCM Training Coordinator a copy of their grade notification and/or other evidence of satisfactory completion. Failure to produce course completion documentation will subject the employee to being held liable to reimburse DOE-SR and may jeopardize registration for future learning activities.
- 7.5.4 Employees who fail to start, withdraw from, or do not complete training assignment requirements (complete activities, attend 80 percent of schedule time, obtain a minimum grade "C" for junior college and undergraduate courses and a minimum grade "B" for graduate courses or equivalent, such as pass/fail where used) must reimburse the Government for all tuition and/or other training costs incurred, unless completion requirements are waived. The DOE-SR Finance Division will facilitate the reimbursement process to collect this amount from the employee. Only the DOE-SR Manager or Deputy Manager may waive the training grade/successful completion requirements. Waivers must be addressed in writing to the DOE-SR Finance Division and a copy must be provided to OHCM.

7.6 TRAINING COURSE ATTENDANCE

- 7.6.1 Scheduled courses must be attended and given full attention and effort toward satisfactory completion of the learning activity. Attendance becomes an employee's job for that period and must receive the same level of attention and effort as other job duties. If an employee needs to change a scheduled training course date, one request will be granted. A second request to change a scheduled course date for the same course will require a new TR to be approved by the supervisor.
- 7.6.2 For training course sessions greater than eight hours in length, an employee must attend a minimum of 80 percent of the course and achieve acceptable performance on training course examinations (when applicable) in order to receive credit for the training session. For course sessions of eight hours or less, an employee must attend 100 percent of the course and achieve acceptable performance on training course examinations (when applicable) in order to receive training credit. If an on Site training course session ends two hours prior to an employee's shift ending (e.g., an eight hour shift has six hours of training; a nine hour shift has seven hours of training, etc.), the employee is expected to return to the official duty station when the class is dismissed. Time and attendance regulations will be applied when an employee does not return to their official duty station. When employees attend a learning activity in the local commuting area (e.g., Aiken, Augusta, or the CSRA) and the training course is less than eight hours, where feasible, employees are expected to return to their official duty station to complete their workday. For further guidance on work schedules, refer to SRM 300.1.1B, Chapter 7, Section 7.1, "DOE-SR Alternative Work Schedules".
- 7.6.3 Credit for attendance at a learning activity will not be granted without the employee producing course completion documentation. Documentation can include a roster, course completion certificate, training course grade, or internet grade. Failure to produce course completion documentation may jeopardize registration for future learning activities.
- 7.6.4 **Mandatory Training:** Employees must attend any mandatory training assigned by DOE-SR Managers (See Attachment B).
- 7.6.5 **Self-Study Courses:** Employees complete self-study courses within the prescribed timeframe. One extension will be granted for completion of self-study courses and must be coordinated through the OHCM Training Coordinator. Extensions will not be authorized without written approval from the supervisor.
- 7.6.6 If training courses are attended, but not completed, the employee must notify the supervisor and the OHCM Training Coordinator immediately. E-mail notification with the employee's supervisor included on distribution is acceptable.

7.7 CANCELLATION OF TRAINING OR CONTINUING EDUCATION COURSES

- 7.7.1 **Individual Employee Training:** The OHCM Training Coordinator shall be notified immediately with written supervisory approval (an e-mail from the supervisor is acceptable) of any employee training or continuing education course(s) that must be cancelled.

- 7.7.2 Group Training: The OHCM Training Coordinator notifies DOE-SR employees of cancellation of funded training courses a minimum of 14 calendar days prior to the scheduled start date, when possible.
- 7.7.3 The OHCM Training Coordinator ensures the following steps are taken when training is cancelled:
- A. Notifies training providers when there is a need to cancel training;
 - B. Updates the CHRIS database, as applicable;
 - C. Files cancelled TRs; and,
 - D. Forwards cancelled SF 182, "Authorization, Agreement and Certification of Training", to the Finance Division, if applicable.
- 7.7.4 Course registration that is secured by the OHCM Training Coordinator must be cancelled by the OHCM Training Coordinator. Cancellation of continuing education courses is the responsibility of the employee and must be coordinated with the OHCM Training Coordinator and Finance Division.

7.8 EVALUATION

- 7.8.1 Upon satisfactory completion of all training instances, a training evaluation must be completed in CHRIS, within ten working days of course completion.
- 7.8.2 The OHCM Training Coordinator periodically reviews training evaluations to assess the return on investment.

7.9 TRAINING BUDGET

- 7.9.1 The Director, OHCM, develops, submits, administers, monitors and authorizes all expenditures of the DOE-SR Annual Group Training and Continuing Education Budget, which is based upon the following:
- A. Training required by DOE orders, policies, or related regulations;
 - B. Commonly identified training needs across DOE-SR as determined by the annual review of the training needs assessment; and,
 - C. Training to support needs as requested by supervisors/managers.
- 7.9.2 The Director, OHCM, monitors, tracks, and reports annual group and continuing education training budget expenditures to DOE-SR senior management.
- 7.9.3 The Director, OHCM, develops and distributes the Annual Training Cost Report to DOE-HQ in accordance with DOE O 360.1C, "Federal Employee Training". The report provides comprehensive expenditure/funding information on all training and continuing education activities for DOE-SR and its contractors.

7.10 PAYMENT FOR COSTED LEARNING ACTIVITY

- 7.10.1 The OHCM Training Coordinator has been delegated authority to authorize and obligate training funds for DOE-SR training and continuing education expenditures.
- 7.10.2 Costed learning activities must be approved by the appropriate supervisor, DOE-SR Manager or Deputy Manager, in cases of job-required continuing education courses, and authorized by the OHCM Training Coordinator, before the employee is enrolled, registered, and/or attends training or continuing education courses. Failure to comply with this requirement will result in an employee being held financially responsible for any costs incurred. Training and continuing education expenses shall be paid in accordance with 5 U.S.C. 4109 and this procedure, which provides guidelines on expenses, costs, and fees associated with training and continuing education.
- 7.10.3 Once costed learning activities have been authorized, the OHCM Training Coordinator performs the following activities to ensure compliance with the Prompt Payment Act:
- a. Distributes the SF 182 to the vendor as payment and to the Finance Division for filing;
 - b. Files course completion certificates in employee files; and,
 - c. Approves payment of training course invoices.

7.11 PROFESSIONAL CERTIFICATION/REGISTRATION PROCESS

- 7.11.1 Employees acquiring/maintaining professional certification or registration that is applicable to their current job duties (Figure 3), may be reimbursed for their expenses in accordance with the guidance in this section and SR Form 371, "Request for Reimbursement of Professional Certification or Registration Expenses" (See Attachment E). No retroactive or advance payment will be made since prior approval is required.
- 7.11.2 Prior to incurring any expenses for a professional accreditation that will result in an employee's certification or registration, the employee completes Section I, Part I, of SR Form 371 and forwards the request to his/her immediate supervisor for review and approval. Expenses cannot exceed \$200 per certification or \$500 per fiscal year and are subject to availability of funding. DOE will pay for one successfully completed exam taken to obtain each job-related professional credential.
- 7.11.3 The request is reviewed by the supervisor and if he/she approves, completes Section I, Part 2, of SR Form 371. Once completed, the request is forwarded to the DOE-SR Training Officer. Reimbursement is not allowable for professional credentials when the purpose is to enhance the promotion potential for the employee.
- 7.11.4 The DOE-SR Training Officer reviews the request. Once a determination is made that the request is appropriate for reimbursement, he/she completes Section I, Part 3, of SR Form 371 and forwards the original request back to the employee with a copy to the Finance Division.

- 7.11.5 Upon completion of the accreditation activity and upon receipt of certification documentation, the employee completes Section II, Part 1, of SR Form 371, identifying the actual costs incurred. Original receipts showing name of the company/institute, employee's full name, date paid, and total amount paid must be attached to the request for reimbursement. Travel expenses will not be authorized or paid for by DOE-SR in conjunction with obtaining professional certification or registration. Once completed, the employee forwards the original request, along with attachments to the DOE-SR Training Officer. Cancelled checks are not proof of payment.
- 7.11.6 The Training Officer reviews the request to ensure costs are correct and supporting documentation has been provided. The Training Officer completes Section II, Part 2 of the request, SR Form 371, and forwards all paperwork to the Finance Division for final processing.
- 7.11.7 The Finance Division completes Section II, Part 3 of the request, SR Form 371, when all entries are completed. The employee will receive reimbursement through electronic transfer of funds to his/her banking institution.
- 7.11.8 The Finance Division maintains the original request along with all attachments for reimbursement and provides copies to the employee, the Training Officer, and the Budget Division.
- 7.11.9 The professional certification is applicable to the current job duties of the employee. The purpose of the professional credentials is not to enhance the promotion potential for the employee. The request is received before the employee registers for the certification. Expenses do not exceed \$200 per certification or \$500 per fiscal year.

8.0 RECORDS

8.1 RECORDS CONTROL

Records generated by this directive will be controlled and maintained according to requirements established in SRIP 200, Chapter 243.1, "Records Management Program."

8.2 RECORDS GENERATED

8.2.1 Student Training Records

The OHCM Training Officer maintains individual training and qualification records in a centralized system for all DOE-SR employees. This centralized system ensures a standard and consistent database is available to support the needs of DOE-SR management as well as ensures the records are available to employees. Individual training files contain the following information for learning activities, as applicable:

- A. Training Request;
- B. Training Certification or Verification Documentation (at least one);
- C. Certificates;

- D. Official College Grades;
 - E. SR Form 311, "Employee's Agreement to Continue in Service", if applicable;
 - F. SR Form 347, "Request For Release of Privacy Act or Official Use Only (OUO) Information";
 - G. SR Form 371, "Request for Reimbursement of Professional Certification or Registration Expenses"; and,
 - H. DOE-SR Training history, TQR (if applicable), and miscellaneous training documents.
- 8.2.2 The supervisor authorizes access to employee training and qualification records and organizational budget information for individuals, based on a need-to-know, by initiating an SR Form 347, "Request for Release of Privacy Act or Official Use Only (OUO) Information."
- 8.2.3 Employees leaving DOE-SR (includes employee retirement, transfer, and those terminating Federal service) perform the following steps:
- a. Out-process through the HR Specialist;
 - b. Reconcile with the Finance Division if a SR Form 311, "Employee's Agreement to Continue in Service" exists; and,
 - c. In the event of an employee's death, the HR Specialist ensures records are prepared for disposition.
- 8.2.4 The OHCM Training Coordinator forwards original individual training records to the gaining office (upon request) for employees transferred outside DOE-SR and prepares a copy of the individual training record for archiving. Individual training records for retirements and resignations are retired and archived each fiscal year.

8.3 COURSE TRAINING RECORDS

The following documentation is maintained in course training files:

- a. Learning objective(s);
- b. Detailed course outline/course description;
- c. Master copies of instructor and student materials;
- d. Instructor resume or other supporting documentation used to verify instructor capability;
- e. Examination results for technical training (where applicable);

- f. Attendance roster for each day of the course initialed by the employees and certified by the instructor; and,
 - g. A copy of the training materials and handouts.
- 8.3.1 If a course is vendor developed for DOE-SR, the following documents are maintained in course training files:
- a. Development expenses;
 - b. Lesson plan or detailed course outline indicating technical content and instructional design of the training course;
 - c. Terminal learning objectives and enabling objectives, written in accordance with DOE-HDBK-1200-97, "Guide to Good Practices for Developing Learning Objectives;"
 - d. An examination question bank, examination(s), or other formal evaluation tools, used to determine trainee mastery of the learning objectives, as required;
 - e. Master copies of all additional course materials such as employee handouts, exercise guides, and overhead transparencies; and,
 - f. A copy of the contract between DOE-SR and the vendor.

ATTACHMENT A DOE-SR ORGANIZATIONAL TRAINING AND CONTINUING EDUCATION PRIORITIES

Page 1 of 2

The organizational ability to support nonessential training, continuing education, and developmental activities is dependent on the amount of money allocated for the training budget. In addition to managing funding limitations, supervisors are faced with the difficult task of ensuring a fair and justifiable distribution of learning activities among all members of their workforce.

To facilitate supervisors' and managers' decision-making when determining which learning activities will be funded, the following guidance has been developed. All learning activities have been categorized into four priorities. When considering training and continuing education requests, managers and supervisors shall align the learning activity with the appropriate training and continuing education priority listed below. All training and continuing education requests for Priority One and Priority Two must be funded before any Priority Three or Four training and/or continuing education request is funded. Managers and supervisors determine the training needs for their organization and shall not approve nor consider any training or continuing education request that does not clearly align with one of the Priorities described below:

Priority One (Regulatory)

Definition:	Training required by Federal, State or local law, regulation, directive or DOE-SR Manager.
Funding Source:	Primarily through OHCM Group Training funds.
Examples:	<ul style="list-style-type: none"> a. Annual EEO and Diversity Refresher Training; b. Consolidated Annual Training (CAT); c. General Employee Training (GET); and, d. Annual Ethics Update.

Priority Two (Position/Performance Specific)

Definition:	Training or continuing education activities required by DOE Directives or other Government regulations or requirements.
Funding Source:	Primarily through the organization's training budget and Group Training funds for identified Site-wide training needs.
Examples:	<ul style="list-style-type: none"> e. Regulatory for Position (Radiation Worker, Respiratory); f. Performance Deficiency (Performance Improvement Plan); g. Identified Employee Behavior Deficiencies; h. Performance Improvement and/or Maintenance; i. Technical Qualification Program completion, Career Intern Program, Competed Development Programs; Acquisition Career Management Program, and, j. Training or continuing education for professional certifications that are directly applicable to the employee's current job duties.

ATTACHMENT A (CONT'D)

Priority Three (Organizational)

Definition:	Training or continuing education activities that meets the needs of the employee's currently assigned organization (AM or Division).
Funding Source:	Primarily through the organization's training budget.
Examples:	<ul style="list-style-type: none"> k. Cross-training; l. Training or continuing education to meet existing or anticipated organizational skill gaps; m. Succession planning; and, n. Training on critical functions of positions anticipated to be vacated during the year.

Priority Four (Developmental)

Definition:	Training or continuing education activities that are considered discretionary and do not meet the definition of Priorities 1, 2, and 3.
Funding Source:	Primarily through the organization's training budget.
Examples:	<ul style="list-style-type: none"> o. Retirement planning.

NOTE: Examples of learning activities that **will not** be funded include:

- Courses to prepare an individual to change careers (e.g., accounting to engineering);
- Individual courses not related to the organizational mission (e.g., religion, history, art, music, philosophy, horticulture, military science, physical education or recreation, pre-med or pre-pharmacy, food science, human nutrition, performing arts, nursing).

ATTACHMENT B
DOE-SR REQUIRED/MANDATORY TRAINING REQUIREMENTS

The following Required/Mandatory Training courses must be completed by all DOE-SR Federal employees:

Course	Requirement
General Employee Training (GET)	Completion upon hire or when transferred from another DOE location.
Consolidated Annual Training (CAT)	Annual
Ethics	Annual
EEO Refresher	Annual
Continuity of Operations (COOP)	Annual
No FEAR	Biannual
FEOSH	Annual
Privacy Awareness	Annual
Cybersecurity Awareness	Annual

The HR Specialist shall register new or transferred employees for GET within ten calendar days of beginning work with DOE-SR. Annually, DOE-SR employees shall complete CAT by the date advertised by OHCM.

When a new DOE employee begins working at DOE-SR, the HR Specialist must be furnished with the following information:

- Employee's full name;
- User Identification;
- Start Date; and,
- Determination of GET training needed (Category 1, 2, or 3) and preferred date.

ATTACHMENT C
SR FORM 311, "EMPLOYEE'S AGREEMENT TO CONTINUE IN SERVICE"

http://fmhost10c.srs.gov/fmi/iwp/cgi?-db=forms_index&-loadframes

ATTACHMENT D
SR FORM 347, "REQUEST FOR RELEASE OF PRIVACY ACT OR OFFICIAL USE
ONLY (OUO) INFORMATION"

http://fmhost10c.srs.gov/fmi/iwp/cgi?-db=forms_index&-loadframes

ATTACHMENT E
SR FORM 371, "REQUEST FOR REIMBURSEMENT OF PROFESSIONAL
CERTIFICATION OR REGISTRATION EXPENSES"

http://fmhost10c.srs.gov/fmi/iwp/cgi?-db=forms_index&-loadframes

FIGURE 1: CHRIS TRAINING REGISTRATION PROCESS

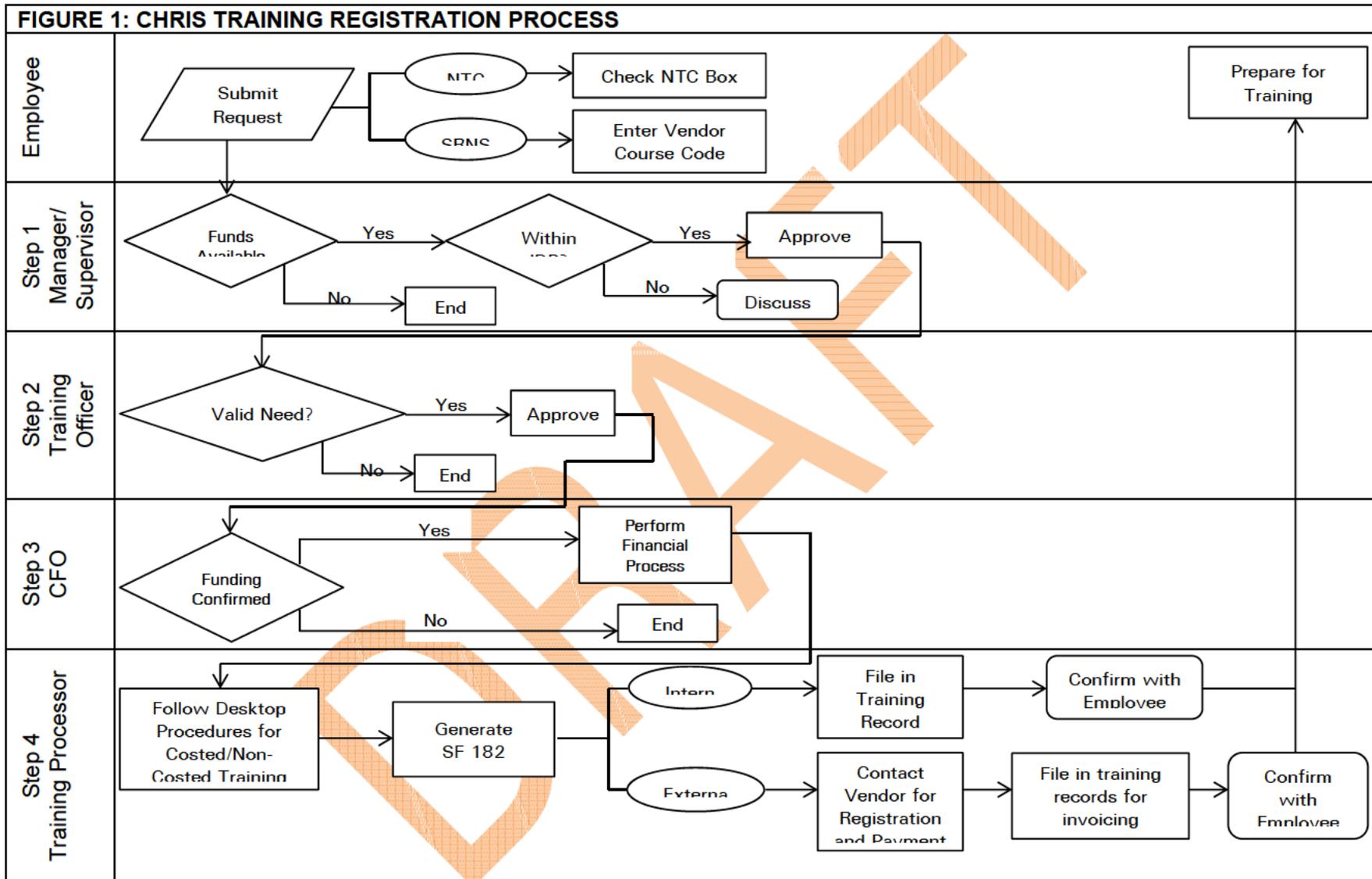


FIGURE 2: CHRIS TRAINING REGISTRATION PROCESS (CONTINUING EDUCATION)

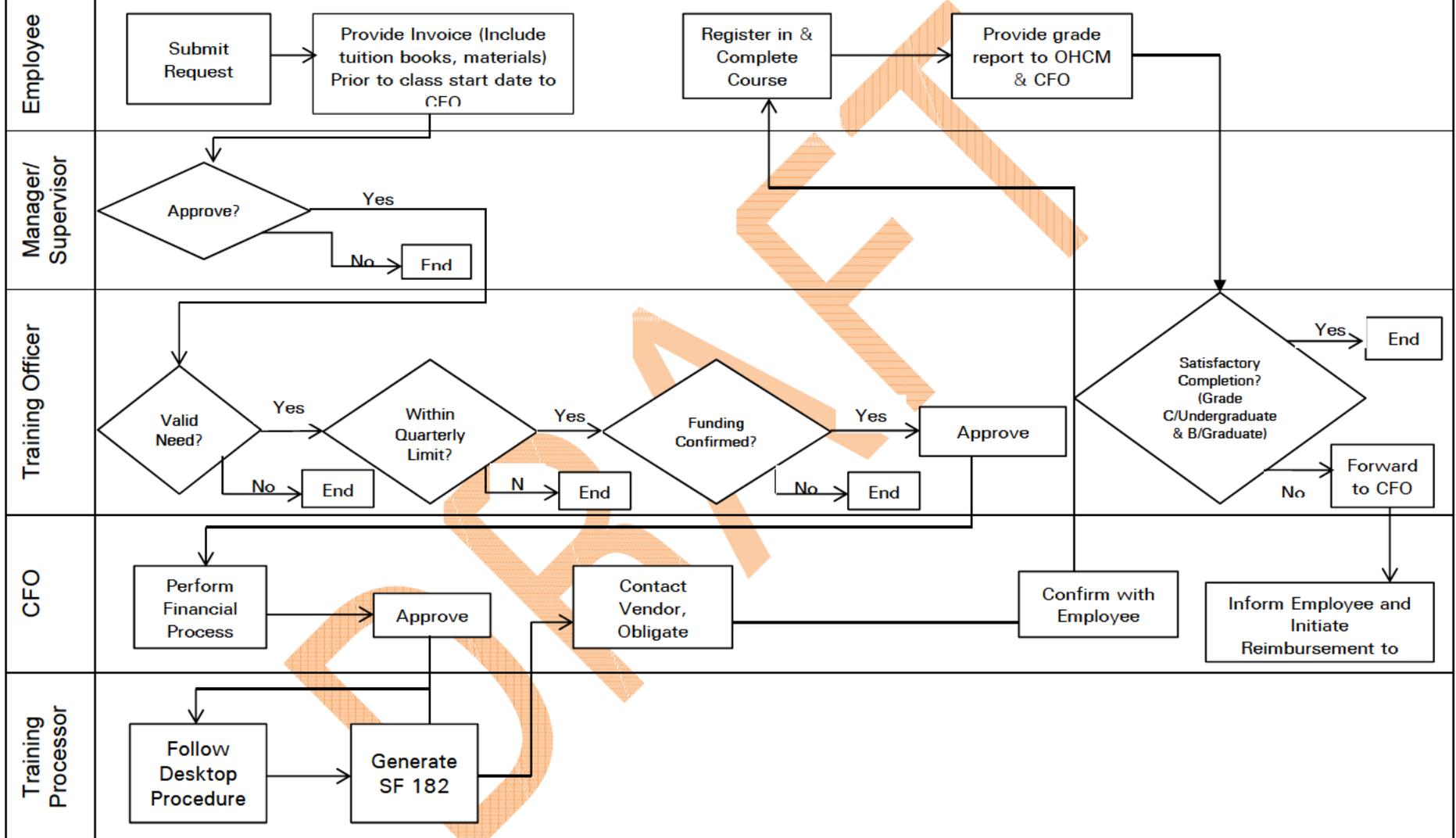


FIGURE 3: PROFESSIONAL ACCREDITATION (LICENSE/CERTIFICATION) REIMBURSEMENT PROCESS

