

**SUPPLEMENTAL DIRECTIVE**

**NNSA SD 360.1**

Approved: 5-16-14

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**FEDERAL EMPLOYEE TRAINING**

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**NATIONAL NUCLEAR SECURITY ADMINISTRATION**  
**Office of Management and Budget**

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## **FEDERAL EMPLOYEE TRAINING**

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1. **PURPOSE.** To establish and implement a consistent process for Federal Employee Training. This SD provides detailed requirements to meet the requirements of 5 USC Chapter 41, *Training*, to implement DOE Order 360.1C, *Federal Employee Training*, and support DOE Order 426.1, *Federal Technical Capability*.
2. **CANCELLATIONS.**
  - a. BOP-002.07, *NNSA Federal Employee Training*, dated 2-15-08
  - b. NAP-17, *Federal Training*, dated 2-15-08
3. **APPLICABILITY.**
  - a. **NNSA Applicability.** This policy applies to all Federal employees.
  - b. **Contractors.** Does not apply to contractors.
  - c. **Equivalency.** In accordance with the responsibilities and authorities assigned by Executive Order 12344, codified at 50 USC sections 2406 and 2511 and to ensure consistency through 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.
4. **REQUIREMENTS.**
  - a. **NNSA Training Process.** In general, training must be requested, approved, reviewed for available funding if necessary, and authorized before the event is scheduled to begin. The training participant is responsible for submitting and obtaining supervisory approval for all requests for training.
    - (1) All requests shall be submitted through the Corporate Human Resources Information System (CHRIS) Training Workflow and need to be received by the training processor at least 14 days before the start of the event. Please note that the training processor is the final step in the approval process; thus, employees and supervisors should take care to begin the process at a minimum 30 days in advance of the date of training. A complete request contains information on the vendor, course title, dates, tuition costs, etc. Any request that is missing information, such as cost information, may be returned to the employee, potentially delaying enrollment or registration.
    - (2) Training approval, i.e., certification that training is an appropriate expense related to improving mission-related performance is a supervisory function; however, responsibility for approval may be delegated to a non-

supervisory official, such as a team leader or senior employee. No employee may approve his/her own training request and no subordinate may approve training for a superior.

- (3) Training authorization is the responsibility of the Office of Leadership and Career Management (OLCM), NA-MB-40 Leadership Consultant, who is charged with ensuring all legal and administrative requirements and that the appropriate funds are available, if the training is NNSA sponsored. Once training has been approved and authorized, and registration has been completed, the employee requesting training will receive an electronic confirmation from CHRIS.
- (4) Under no circumstances may the employee or supervisor take it under their own authority to pay for training via means other than those established in this process, e.g. training expenses may not be included as a "miscellaneous expense" on a travel voucher or paid for using an employee's personal credit card. NNSA will not reimburse employees for professional development training courses should they request reimbursement for costs incurred via other methods than those outlined in this SD due to improper planning, delays in supervisor approval or other reasons within the control of the employee. In certain instances, a ratification may be obtained as noted in Section 8.

b. Announcement, Cancellation, and Substitution of Training.

- (1) OLCM, NA-MB-40, will publicly announce all NNSA-sponsored training. Cancellation notice will be given to participants and their supervisors as far in advance as practical.
- (2) Training participants must adhere to the vendor's cancellation policy. Employees and supervisors should make every attempt to provide a substitute or replacement student prior to submitting a cancellation. The substitute must be qualified to attend the training and must follow the same process in section 4.a. to register for the training.

If the employee or supervisor cannot identify an adequate substitute prior to the start date of an approved training activity, they must inform the OLCM Leadership Consultant prior to the cancellation date established by the vendor, or the organization must pay for the cost of the training instance, unless cancellation requirements are waived.

If NNSA sponsors the training, requests for cancellation must be submitted to the OLCM Leadership Consultant 14 calendar days before the start of the training instance, unless specified otherwise in the training announcement/schedule or an emergency occurs. The employee's supervisor should receive a copy of the cancellation request. Exceptions will be made on a case-by-case basis for circumstances that are out of the

control of the training participant such as illness, or death in the family.

- (a) If no costs will be incurred, the OLCM Leadership Consultant will notify the employee and their supervisor that the training instance has been cancelled.
  - (b) If costs will be incurred, the training consultant will discuss the impact with the supervisor or the element's training liaison. Once a decision has been made on how to proceed, the training consultant will ensure the employee, their supervisor, and the training liaison are aware of the outcome.
- c. Training Completion and Evaluation. Per 5 CFR 410.405 and DOE Order 360.1C 4.h, participants who fail to start, withdraw from or complete scheduled training must reimburse NNSA for any training or travel costs incurred, unless completion requirements are waived by the OLCM with concurrence of Director, Office of Human Capital Management.
- (1) Training participants will be required to evaluate any OLCM sponsored leadership and career development program. Evaluation will be done electronically, with the participant emailed instructions on how to complete the evaluation within 90 days of completion.
  - (2) Failure to complete training assignment requirements include, among others:
    - (a) Not completing class activities
    - (b) Not attending 80 percent of the scheduled time
    - (c) Not recording a "C" or above grade for junior college and undergraduate courses
    - (d) Not recording a "B" or above grade for graduate courses
    - (e) Not recording a "pass" where pass/fail is used, or not recording a "credit" where credit/no credit is used
  - (3) Training completion requirements may only be waived by the organization's OLCM Leadership Consultant with concurrence of the Director, Office of Human Capital Management. Acceptable reasons for waiving training completion/reimbursement include: a new work assignment that prevents an employee's satisfactory completion, last minute mission requirements preclude attendance, as substantiated by the supervisor, an employee's personal circumstances, a conflict with NNSA's interest or legal requirements, the amount or nature of the costs to be recovered, the benefit to NNSA during reduction-in-force circumstances, medical or psychological circumstances, or an undue hardship or inequity.

Waivers must be in writing, with a copy provided to the employee's supervisor.

- d. Funding. NNSA maintains two types of training funds, corporate (including associated travel funds) and program funds. The OLCM is responsible for maintaining controls and prudently spending corporate NNSA training funds in accordance with statute, regulation and DOE Orders. Training funds retained by NNSA organizations must also be controlled in a similar manner. Training funds may be used to support employee or organizational travel directly related to training. Organizations must contact their OLCM Leadership Consultant for the necessary forms and explanation of the process.

This control will be accomplished through an NNSA training plan that meets individual and organizational training and developmental needs through an annual assessment of needs. This plan will be complete and in place by October of each year. Training funds are distributed at the beginning of each fiscal year based on that data and the allocated training budgets. OLCM will routinely look for the most cost-effective method of delivering training and will make recommendations accordingly. Training that is considered organization-specific will be identified by the organization during the annual training assessment.

- e. Individual Development Plans (IDPs). Individual Development Plans must also be prepared according to DOE O360.1C 4.b. and prepared using the current IDP tool. Military and other Federal agency employees on detail to NNSA organizations are encouraged, but not required, to complete an IDP. The IDP should describe reasonable and appropriate employee training objectives and activities. Employees are encouraged to consider various, alternative methods for obtaining the training, such as on-the-job training, details or rotational assignments, online learning, mentoring, computer-based training, satellite training, self-study, and video. Employees should consider these options to the fullest extent possible.
  - f. Continuing Service Agreement. In accordance with 5 USC 4108, 5 CFR 410.309 (a) and DOE Order 360.1C 4.f, a Continuing Service Agreement (CSA) is required for each training activity that exceeds 160 training hours.
  - g. Prior to approval of covered training, the employee must sign a CSA indicating that he/she has read and understands the provisions of the agreement. The original agreement will be maintained as part of the employee's training record; a copy of the agreement will be provided to the employee and to their servicing NA-MB-10 Strategic Business Partner to add to their official personnel file. Refusal to sign an agreement terminates the employee's participation in the training.
5. Costs Funded by NNSA. NNSA will pay for tuition, fees, books, materials, and equipment in accordance with 5 USC 4109 and DOE Order 360.1C. NNSA will also pay

for professional credentials in accordance with 5 USC 5757 and the September 7, 2010, "Policy Memorandum #12: Payment of Expenses for Professional Credentials." This reimbursement will not come from training funds, but other program direction accounts. In order to be reimbursed, employees should submit an SF 1034, "Claim for Reimbursement for Expenditures on Official Business," available on the GSA Web Site <http://www.gsa.gov>, to their first and second-level supervisors for approval. Employees must send the approved form to the NA-MB-50 Office of Planning, Programming, Budget, and Evaluation for payment, with proof of payment, documentation of dates of certification, and a signed continued service agreement for the period of time covered by the credentials. Presidential appointees, non-career members of the Senior Executive Service, and Excepted Service employees appointed under Schedule C are not eligible for reimbursement. Costs for an examination preparatory class may also be paid if the class qualifies as training.

NNSA may pay for college tuition if a course is directly related to the individual's job responsibilities. Any requests for tuition must be made through CHRIS Training Workflow, as noted in Section 4.a.(1).

6. Costs Not Funded by NNSA.

- a. NNSA will not pay for costs imposed by an educational institution for granting a degree or credit toward a degree, unless it relieves recruitment and retention problems, per 5 CFR 410.308.
- b. NNSA will not pay for the cost of food, meals, and/or lodging costs at an employee's official duty station unless the training program requires extended training hours or participation in specific group events, the safety or health of the employee may be jeopardized, or these costs are included in a single fee and cannot be separated from other costs.
- c. NNSA will not pay costs incurred by retroactive approval or ratification of training that requires a continued service obligation.

7. Meetings or Conferences. If a meeting or conference is considered training, registration costs will be paid with training funds. In order to be considered training, the meeting or conference must meet the criteria in 5 CFR 410.404:

If none of these criteria are met, the meeting or conference falls under the purview of Federal travel regulations and should be handled by normal travel procedures. Questions on payment of non-training conference fees should be directed to your travel coordinator. The program's OLCM Leadership Consultant will determine if a meeting or conference is considered training, based on the information received in the training request.

Attendance at the meeting or conference must be approved by the Executive Secretariat & Conference Management Division, NA-MB-24. Contact (202) 586-9809 for that approval.

8. Personal Liability Policy for Self-Registration for Training. Employees should not self-register for training directly with the vendor. By self-registering for training directly with the vendor or directing the development of organizational training without benefit of appropriate advance coordination with OLCM, employees risk being personally liable for payment. If an employee registers for training or directs the development of organizational training, he or she will be considered to be acting in his or her own behalf and will be held financially responsible for the costs incurred. These costs may even include leave status and travel expenses involved with the training. If this occurs, the employee and the employee's management must establish a case with the OLCM Director that the situation meets contract ratification provisions before the government will provide any reimbursement.
  - a. If a student has taken a class without prior approval from his or her supervisor, and validation and enrollment by the OLCM Leadership Consultant, and has received an invoice that he or she requires NNSA to fund, then a ratification action is required. The Head of Contracting Authority (HCA) has authority to provide ratification, which is the approval or disapproval of an unauthorized commitment. Ratification is not required if the student has registered for a course but has not yet taken it. In this case, the OLCM Leadership Consultant will register the student correctly prior to the course start date, and no further action will be required. Please note, that it is NNSA's policy not to approve ratification actions for employees who take it upon themselves to request funding for training after the fact. These requests will be considered on a case-by-case basis and only those meeting the most extenuating circumstances will be approved.
  - b. A training request that has been approved by the student's supervisor does not confirm course registration. The request must first be validated and enrollment performed by the OLCM Leadership Consultant. This will ensure that training funds are available and that the requested training meets legal and administrative requirements prior to procurement.
9. Types of Training NNSA May Provide. NNSA may provide training for promotion or placement in other positions or agencies in accordance with 5 CFR 410.301, et seq.
10. Training Records. CHRIS is the official system of record for employee training.
  - a. To ensure an employee's record includes all training, the employee must process all training requests through CHRIS Training Workflow.
  - b. If the training was not processed through the CHRIS Training Workflow, employees must provide proof of the training, such as a certification of completion, an official roster, etc., to the OLCM Leadership Consultant in order to receive credit. This type of training includes, but is not limited to, rotations or details, self-study, etc.



- c. Training and Qualification Records. Upon approval of this Supplemental Directive, the OLCM will maintain an electronic copy of each Technical Qualification Program (TQP) participant's TQP record. This record is limited to the documents issued through OLCM or received from the organizational training coordinator. A typical record may include the following documents:
- (1) The issuance memo signed by the NNSA TQP Manager
  - (2) The qualification standard and card issued to the participant
  - (3) Office Site Facility Standard received
  - (4) Completed, signed qualification card(s)
  - (5) Signed qualification completion certificate(s)
  - (6) Annual Continuing Training Program progress trackers (may be completed or not)
  - (7) Continuing training completion certificates if issued by OLCM

11. RESPONSIBILITIES.

- a. Deputy Administrators/Associate Administrators/Office of General Counsel/Field Office Managers. Oversee the administration of all activities associated with the planning, coordination, and scheduling of training efforts for its employees including the following functional areas:
- (1) Identifies critical training needs through workforce planning, organizational, occupational, and individual assessment tools provided by OLCM and reviews the element's portion of the training plan developed by OLCM;
  - (2) Reviews the organization's portion of the annual training summary report and annual training cost report developed by OLCM;
  - (3) Evaluates training to ensure the effectiveness and efficiency of delivered training products to include technology-supported learning;
  - (4) Monitors and develops critical skills necessary for the safe and secure operation of defense nuclear facilities as defined within the context of the Federal Technical Capability Panel;
  - (5) Administers the Technical Qualification and Senior Technical Safety Manager Programs for the element with support of the OLCM;
  - (6) Assists with enterprise training initiatives including mentoring and other non-classroom based activities;

- (7) Assists with HCM training initiatives associated with the Human Capital Management Strategic Plan;
  - (8) Prioritizes critical training needs, identifies adequate resources to plan, assess, and report on training consistent with strategic planning, budget, succession planning, and OLCM processes;
  - (9) Ensures that selected training and development is mission-oriented, appropriate, and cost-effective; and
  - (10) Assigns responsibilities for training requirements and functions, including designation of a responsible training official(s) for specific training program activities within the element.
- b. Associate Administrator for Management and Budget, NA-MB-1, through the Deputy Associate Administrator for Human Capital and Leadership Development
- (1) Approves NNSA-wide training policy, procedures, and resource management planning requirements;
  - (2) Approves Human Capital Management (HCM) initiatives for implementation, coordination, and execution in accordance with the Human Capital Management Strategic Plan;
  - (3) Assures the NNSA-wide evaluation and assessment of training activities is completed;
  - (4) Provides training goals, strategies, and general direction consistent with NNSA management and administration objectives;
  - (5) Approves research designed to improve NNSA's training programs; and
  - (6) Provides for continuing development of supervisors, managers, and executives to meet NNSA's succession planning needs through allocation of resources for training, coaching, mentoring or other development activities.
- c. Director, Office of Leadership and Career Management, NA-MB-40
- (1) Recommends NNSA-wide training policy, procedure, and resource management planning requirements to senior NNSA management;
  - (2) Ensures appropriate HCM initiatives are developed, implemented, coordinated, and executed in accordance with the Human Capital Management Strategic Plan;
  - (3) Develops and implements the NNSA-wide evaluation and assessment of training process and makes recommendations for improvement of training

at all levels within the NNSA based on the results;

- (4) Serves as the interagency liaison and completes interagency agreements with respect to NNSA training, in consultation with Associate Administrator for Management and Budget;
- (5) Defines and negotiates mandatory training requirements for employees, including manager and supervisor training in response to changes in statute, regulation or DOE Order and determines how NNSA will meet those requirements;
- (6) Approves participation in training agreements governing multi-site programs;
- (7) Waives continued service obligations for Federal employees prior to separation from NNSA, as appropriate;
- (8) Approves acceptance of training-related awards, honorariums, and/or other contributions toward costs of training from Internal Revenue Service recognized 501(c) (3) organizations, with advice from the Office of General Counsel, as required;
- (9) Ensures information is current and distributes communications announcing upcoming classes, seminars, workshops, and other training;
- (10) Prepares the annual NNSA training plan and annual training summary report.

d. Director, Training Operations Division, NA-MB-42

- (1) Identifies training to be procured by NNSA contracting officers;
- (2) Develops NNSA training policy and provides leadership in the coordination, implementation, and evaluation of NNSA training. This includes training planning, resource management, needs analyses, needs assessment, design, development, and delivery, and assessment responsibilities issues;
- (3) Considers strategic objectives, training required by law, regulation, directive, or a technical qualification or work performance competency standard; and individual training needs as determined through needs analyses and functional, occupational, and individual needs assessments and individual development plans when developing NNSA training policy and planning for training;
- (4) Administers NNSA employee development and career leadership programs, including associated certification programs;

- (5) Annually reviews all training needs and plans for training to meet critical mission drivers and employee competency needs;
  - (6) Provides training policy guidance and professional advice and consulting assistance to NNSA elements, training liaison personnel, and NNSA employees;
  - (7) Chairs and/or supports councils, committees, boards, and other entities responsible for NNSA-wide training;
  - (8) Assigns responsibilities to Training Operations Division staff for training requirements and functions, including designation of a responsible OLCM training official(s) for specific NNSA training program activities;
  - (9) Provides administration and coordination of the NNSA Technical Qualification Program;
  - (10) Provides support to web-based training systems;
  - (11) Provides customer service to supervisors, management officials, and NNSA employees regarding classes, seminars, workshops, and special programs offered, class schedules, class cancellations and rescheduling, enrollment procedures, course prerequisites, course waivers, classroom assignments, and course locations;
  - (12) Provides support to each element in the preparation of an annual training plan that identifies critical training needs for organizations and individuals within those organizations and estimates costs for that training;
  - (13) Obtains market surveys, drafts work statements, evaluation criteria, and solicitation documentation as well as evaluates proposals for training courses, seminars, general training, and support services;
  - (14) Collects employee and supervisor feedback on training adequacy and analyzes the information collected to improve training courses and programs;
  - (15) Maintains requisite training records, associated documentation, and prepares required essential training reports and statistics as required by law, regulation or DOE Order; and
  - (16) Provides subject matter expertise on training products, processes, and training related systems and issues.
- e. Director, Leadership and Employee Initiatives Division, NA-MB-41. Manages, administers, and maintains existing Department-wide career development programs.

- f. NNSA TQP Manager. Operates according to the functions outlined in the *Technical Qualification Program User's Guide*, dated December 2011, in conjunction with NNSA HQ and field offices, the DOE FTCP, and other DOE stakeholders. In support of the implementation of DOE O 426.1, *Federal Technical Capability*, within NNSA, and in order to effectively support offices with responsibility for oversight of nuclear safety, the NNSA TQP manager:
- (1) Assists sites with the TQP position evaluation process;
  - (2) Provides consistency reviews on vacancy announcements and position descriptions for positions with significant safety responsibilities at defense nuclear facilities;
  - (3) Manages the comprehensive examination database and generator, protecting its integrity and maintaining content currency;
  - (4) Maintains all necessary TQP documents, including a database of all positions in the NNSA TQP and a current official list of approved qualifying officials;
  - (5) Develops and implements continuing training program tools;
  - (6) Provides real-time status reports to supervisors and TQP participants;
  - (7) Assists site TQP self-assessments;
  - (8) Provides enterprise training support to TQP participants to meet programmatic requirements; and
  - (9) Coordinates TQP feedback and improvement efforts.
- g. Supervisors and Managers In addition to the responsibilities laid out in DOE O 360.1C 5.i., NNSA requires Supervisors and Managers to:
- (1) Collaborate and strategically partner with OLCM to ensure a uniform and systematic approach to training in order to ensure critical training needs are being met including mentoring and other non-classroom based activities;
  - (2) Ensure proper and well-defined training needs are clearly identified to meet critical gap requirements that are brought about by NNSA re-engineering and restructuring efforts that result in changes in mission drivers;
  - (3) Approve training requests within 3 business days of receipt.

- h. Employees In addition to responsibilities laid out in DOE O 360.1C 4.h.(2) and 5.j., and Section 4.e. of this Supplemental Directive employees must:
- (1) Submit requests for training and cancellation so they are received at least 15 business days in advance of the training.
  - (2) Ensure that training requests include all information necessary, including costs, to enroll and register in training.

## 12. ACRONYMS AND DEFINITIONS

- a. CHRIS – Corporate Human Resources Information System – is the official Department of Energy system of record for human resources information and activities, including training.
- b. CSA - Continuing Service Agreement is a legally binding agreement between an employee and NNSA to continue working for NNSA for a calculated period of time after completion of certain training events.
- c. FTCP – Federal Technical Capability Program - provides for the recruitment, deployment, development, and retention of Federal personnel with the demonstrated technical capability to safely accomplish the Department of Energy’s mission and responsibilities.
- d. HCA - Head of Contracting Activity – an NNSA official with senior management authority for the award and administration of financial assistance instruments.
- e. Individual Development Plans (IDPs) – are documents used to plan developmental experiences (course work, special projects, on-the-job training, details, etc.) which may change from year to year as the mission of the organization evolves.
- f. NNSA – National Nuclear Security Administration
- g. OLCM - Office of Leadership and Career Management
- h. OLCM Leadership Consultant – an employee of the Office of Leadership and Career Management tasked with providing advice and assistance on learning and development to specific elements of NNSA.
- i. TQP - Technical Qualification Program – A program within NNSA designed to assure that NNSA technical employees whose duties and responsibilities require them to provide assistance, guidance, direction, or oversight that could affect the safe operation of a defense nuclear facility, including evaluation of contractor activities at those facilities, have the necessary skills and abilities.
- j. Training Liaison – an individual in a program or Field Office who acts as point of contact on training issues for their organization and its Leadership Consultant or

NA-MB-40 in general.

13. REFERENCES.

- a. DOE Order 360.1C, *Federal Employee Training*
- b. DOE Order 426.1, *Federal Technical Capability*
- c. 5 CFR 410, *Training*
- d. Executive Order 11348, *Providing for the Further Training of Government Employees* by Public Law 106-398 and Public Law 108-123
- e. 5 USC Chapter 41, *Training*

14. CONTACT. Office of Leadership and Career Management at 202-586-7927.

BY ORDER OF THE ADMINISTRATOR:

  
Frank G. Klotz  
Administrator