



Department of Energy

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MEMORANDUM FOR: DISTRIBUTION

FROM: Archer L. Durham *Archer L. Durham*
Assistant Secretary for
Human Resources and Administration

SUBJECT: Interim Guidance for Individual Development Plans and
Identification of Training Requirements

The Department of Energy's Implementation Plan for the Defense Nuclear Facilities Safety Board (DNFSB) Recommendation 93-3 requires that the Department provide guidance to all DOE technical organizations to assist them in determining the adequacy of existing Individual Development Plans (IDPs) or developing IDPs for technical employees and managers in instances where they do not exist. This interim guide, attached, is provided for your use.

This interim measure is being taken until formal qualification and training programs are established for positions described in DNFSB Recommendation 93-3. Departmental guidance for qualifications and training programs will be issued during the summer of 1994.

The review, verification and/or IDP development activities, required by this interim guide, are to be completed and documented for technical employees and managers no later than October 1, 1994. Heads of Headquarters and field elements should inform the Office of Professional and Technical Training and Development in writing when these actions are complete.

Questions regarding this guidance should be directed to Billy McCormick in the Office of Professional and Technical Training and Development. Mr. McCormick can be reached at (202) 275-0804.

Attachment

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Department of Energy
Interim Guidance
for Preparation and Use of
Individual Development Plans

February 28, 1994

**Department of Energy
Interim Guidance
for the Preparation and Use of
Individual Development Plans**

I. Purpose

This document provides guidance to organizations in the preparation and use of Individual Development Plans (IDPs), as required by Commitment 4.2.1 of the Implementation Plan for Defense Nuclear Facilities Safety Board (DNFSB) Recommendation 93-3. IDPs shall be used to document the training requirements to meet performance expectations until position qualification standards have been established. This guide will be superseded upon completion of the comprehensive Department of Energy training program description, the associated qualification standards, and the Federal Employee Training Standard to be issued by the summer of 1994. In the interim, the IDP (or other equivalent document that has been approved for this purpose) will be used to schedule all training and development activities for each employee and will also constitute the necessary documentation to substantiate the qualification of these employees.

II. Introduction

The Department of Energy has mission and management challenges that call for a new responsiveness to employee training and development needs. Managers, supervisors, and employees together must see training and development as an integral part of a system that links organizational needs, available resources and facility safety. DOE's desire to improve the quality of organizational and individual performance through increased employee technical competence necessitates better definition of the training and development process. It also involves educating stakeholders at all organizational levels concerning the proven relationship between safety and technical competence. This commitment is reflected in DOE's response to DNFSB Recommendation 93-3.

Individual career development is the responsibility of all employees, supervisors, managers, and senior executives. Through skill and job assessment activities (assisted by training specialists where required), employees, supervisors and managers identify and evaluate organizational and individual goals and objectives, and employee competencies. Based on this assessment, an Individual Development Plan (IDP) is developed that takes into consideration these organizational and personal goals in identifying areas for learning and skill improvement consistent with the employee's responsibilities. This planning process starts with a discussion between the employee and the supervisor concerning specific work assignments. Training and development activities are then scheduled, on-the-job experience opportunities are planned, and other activities, designed to enable the employee to grow and become an increasingly

valuable resource to the DOE, are identified and documented. The supervisor has the responsibility to ensure that all of the required and otherwise identified training, development, and experience activities are scheduled and that the schedule is included in the IDP. The Federal employee is responsible for completing the scheduled activities and providing evidence of completion to the supervisor for entry into the employee's official record.

III. Individual Development Plans

As presented in DOE Order 3410.1B, the definition of an Individual Development Plan is:

"An individually tailored plan, established between supervisor and employee with the assistance of a training specialist, outlining the employee's short- and long-range career objectives and the means (e.g. formal training, on-the-job training, or developmental assignment) necessary for achieving these objectives within certain time frames. The purpose of an IDP is to increase the current proficiency, development and progression of the employee through a systematic training plan."

IDPs are the only document that will be used by the Department to identify and track training and professional development activities for DOE employees. This includes any future formal qualification requirements. The IDP has been viewed, by some, as pertaining only to career development. The Responsibilities and Authorities Section of 3410.1B makes it clear that it also applies to training. Ensuring the relevance of training to an employee's job is the responsibility of the first-line supervisor.

Further, career development can occur only when an employee has mastered the knowledge and skills associated with their current job assignments and responsibilities. Mastering current responsibilities requires the identification of short-range career objectives to achieve that goal. The IDP is not limited to identifying career development activities but includes all activities that enhance the employee's knowledge and skills.

The IDP is similar, in principle, to a position qualification program. The difference between the IDP and a qualification program, however, is that the IDP generates a comprehensive and tailored plan unique to each individual's training and professional development needs. Traditional qualification programs are generally designed for groups (e.g., technicians or operators) and, generally, target only those subjects impacting the technical qualifications of an individual. IDPs serve a broader purpose that includes subject matter outside the realm of strictly technical qualifications. IDPs address activities intended to improve competencies as well as qualifications.

DOE Order 3410.1B indicates that IDPs are "encouraged, but optional." It also lists several cases where they are mandatory. For purposes of complying with the Department's 93-3 Implementation Plan, IDPs are mandatory for all technical employees and managers as defined in the 93-3 Implementation Plan glossary. That is:

"All DOE personnel in the 800 and 1300 occupational series and others who, according to their duties and responsibilities, provide direction, guidance, oversight, or evaluation of contractor technical activities. The definition is inclusive of positions that require professional judgement in technical matters, thus it implies technical competence is requisite to the job."

Where IDPs do not exist for these technical employees and managers, it is the responsibility of the Department's senior officials to insure that IDPs are produced. In addition to training requirements, each IDP must have the employee's name, organization, position, employee and supervisor signatures, and the date.

Priority should be given to ensuring that appropriate IDPs exist for technical positions where the risk, hazard, or complexity of the contractor operations for which that Federal employee provides oversight have significant consequences to environment, safety, and/or health.

IDPs should be developed for all employees and managers (as defined above) as soon as possible, but not later than October 1, 1994, and/or within thirty days of placement in a new position. On an annual basis, or as needs dictate thereafter, using input from the performance appraisal and other evaluations throughout the year, Individual Development Plans (IDPs) will be prepared, reviewed, and/or revised as applicable. The supervisor, in cooperation with the employee, will identify training needs for inclusion in the IDP that can reasonably be completed during the ensuing 12 to 36 months. The supervisor needs to consider the work the employee performs, any regulatory training, the performance of the employee and the developmental needs expressed by the employee. This process is customarily termed a Needs Assessment. Such advance planning allows the training staff to identify required resources and subsequently plan, schedule, and deliver the required training. This planning will also serve to reduce duplication of training development and implementation throughout the complex, especially for common core training.

Finally, the IDP is a historical record of all training completed and the schedule of all training yet to be completed. The IDP will be updated as training is completed and will be reviewed with the employee for completeness annually by the employee's supervisor.

IV. Setting Priorities for Training

The training and professional development assignments or employee requests contained in the IDP will be prioritized by the appropriate management personnel in the following descending order of importance:

1. Training mandatory for all DOE employees
2. Regulatory and position-specific training
3. Professional Development
4. Continuing Training

Recognizing that all highest priority items cannot be done first, supervisors should ensure that there is a reasonable mix of priorities being completed. Emphasis should always be placed on those activities that pertain directly to job performance or requirements.

V. Records

The IDP will be maintained as a part of the employee's official record. All formal training, whether sponsored by the government, obtained by the employee, or provided through some other entity will qualify for entry in the record system when the training is used as an equivalency for an identified current training need, provided proof of satisfactory completion of the training can be substantiated. Proof of training may be a certificate of completion, supervisory verification of attendance at the training sessions, a transcript, or other comparable documentation. The proof document will be included in the employee's official training record.

Copies of the employee's training record will be provided to the employee and the employee's supervisor of record upon request.

VI. Definitions

Individual Development Plan (IDP) - An individually tailored plan, established between supervisor and employee with the assistance of a training specialist, outlining the employee's short- and long-range career objectives and the means (e.g. formal training, on-the-job training, or developmental assignment) necessary for achieving these objectives within certain time frames. The purpose of an IDP is to increase the current proficiency, development, and progression of the employee through a systematic training plan.

Competency - An essential skill without which an individual is not qualified to

perform assigned tasks.

Developmental Training - Training which expands upon the knowledge, skills, and abilities needed to perform current and anticipated future duties and at the same time enables the employee to pursue overall career interests and goals.

On-the-Job-Training (OJT) - Formal training that is conducted and evaluated in the work environment.

Qualified - The satisfactory completion of a training program based on knowledge and skills that are necessary for performance of assigned responsibilities.

Task - A well-defined unit of work having an identifiable beginning and end which is a measurable component of the duties and responsibilities of a specific job.

Training Needs Assessment - A systematic process by which the supervisor and employee identify the employee's specific training activities and priorities based on a review of the Position Description, Job Analysis, performance appraisal, organizational goals and objectives, and analysis of the employee's experience, training history and career development goals. The results of the needs assessment are documented in the IDP.

Official Training Records - Official training records are a part of the Official Personnel Folder. However, training records may be kept separately (either in hard copy or an automated record system) as long as they are merged with the Official Personnel Folder when the employee ends his or her employment with the Department.