



Washington Headquarters Services

ADMINISTRATIVE INSTRUCTION

NUMBER 40
April 27, 2006

SUBJECT: Employee Learning and Development

- References: (a) Administrative Instruction No. 40, "Employee Career Development and Training," August 24, 1993 (hereby canceled)
- (b) DoD Directive 1430.4, "Civilian Employee Training," January 30, 1985
 - (c) Sections 2301, 4102, 4107-4110 and 5757 of title 5, United States Code
 - (d) DoD 1400.25-M, "Department of Defense Civilian Personnel Manual," December 1996
 - (e) through (n), see Enclosure 1

1. REISSUANCE AND PURPOSE

This Administrative Instruction reissues Reference (a) to implement policy, assign responsibilities, and prescribe procedures for Employee Learning and Development under References (b), (c), and (d).

2. APPLICABILITY

This Administrative Instruction applies to OSD, the Defense Agencies, the DoD Field Activities, and other organizational entities in the Department of Defense that receive personnel and administrative support from WHS (hereafter collectively referred to as "serviced organizations") pursuant to DoD Directive 5110.4 (Reference (e)).

3. DEFINITIONS

3.1. Mission-related training. Training that supports agency goals by improving organizational performance. Includes training that supports the agency's strategic plan and performance objectives; improves an employee's current job performance; expands or enhances an employee's current job performance; enables an employee to perform needed or potentially needed duties outside the current job at the same level of responsibility; and comports with organizational needs in response to human resource plans and re-engineering, downsizing, restructuring, and/or program changes.

3.2. Retraining. Training and development provided to address an individual's skills obsolescence in his/her current position and/or training and development to prepare an individual for a different occupation in the same agency, in another Government agency, or in the private sector.

3.3. Training. Process of providing for and making available to an employee and placing or enrolling the employee in a planned, prepared, and coordinated program, course, curriculum, subject, system, or routine of instruction or education in scientific, professional, technical, mechanical, trade, clerical, fiscal, administrative, or other fields which improves individual and organizational performance and achieves the agency's mission and performance goals.

4. POLICY

It is DoD policy that:

4.1. The DoD Components, according to Reference (b), shall provide the training necessary to ensure efficiency and effectiveness of civilian employees to perform their official duties and to encourage employees to improve job performance.

4.2. The DoD Components, according to Section 2301 of Reference (c), shall provide training with equal opportunity for all qualified employees, regardless of race, religion, color, national origin, sex, age, marital status, physical handicap, or any other illegal discriminatory factors. Further, the DoD Components may not allow training in a non-Government facility that illegally discriminates because of race, color, religion, or national origin in the admission or in the subsequent treatment of students.

5. RESPONSIBILITIES

5.1. The Director, WHS, under the authority, direction, and control of the Director, Administration and Management, shall delegate the Director, Human Resources, WHS, the authority to:

5.1.1. Administer learning and development programs for civilian and military personnel according to this Administrative Instruction.

5.1.2. Take any action necessary to ensure that personnel management subject to this Administrative Instruction is based on, and embodies, merit system principles pursuant to Reference (d).

5.1.3. Direct the implementation and execution of learning and development programs in coordination with the Under Secretary of Defense (Personnel and Readiness), assuring adequate funding and program oversight of supervisory and executive development; employee development and training; and workforce development.

5.1.4. Reissue this Administrative Instruction as needed for currency.

5.2. The Director, Human Resources, shall:

5.2.1. Establish a Learning & Development Division (L&DD) responsible for promulgating educational policy and providing educational and developmental opportunities for administrative, technical, scientific, and professional employees to improve organizational and individual performance.

5.2.2. Support the use of on-line instruction, when practicable, to meet employee learning needs and improve organizational readiness and/or individual performance.

5.2.3. Promote career development by using employee rotational assignments throughout the Department of Defense, other Federal Agencies, and professional or corporate organizations to improve performance.

5.2.4. Integrate human resource planning, human capital management, learning and development processes, and personnel information management responsive to the needs of the serviced organizations.

5.3. The Heads of serviced organizations shall:

5.3.1. Ensure all employees are adequately trained and qualified to meet mission requirements.

5.3.2. Utilize the services of the L&DD to achieve performance improvement and learning needs.

5.3.3. Recommend administrative service and/or satisfaction with providers of learning and development programs to the L&DD through an on-line evaluation system.

6. PROCEDURES

6.1. Procedures adhered to for employee learning and development include:

6.1.1. Those personnel regulations and procedures established for administering civilian employee training under Reference (b), except as specifically provided for in section 4102 of Reference (c);

6.1.2. This Administrative Instruction;

6.1.3. Reference (d) and any other governing DoD regulations; and

6.1.4. Any applicable policies and procedures established by the L&DD in consultation with the Director, WHS.

6.2. Specific rules and procedures proposed by serviced organizations shall be approved by the L&DD in consultation with the Director, WHS.

7. EFFECTIVE DATE

This Administrative Instruction is effective immediately.


Howard G. Becker APR 27 2006
Director

Enclosures - 16

- E1. References, continued
- E2. Serviced Organizations' Internal Administration
- E3. Provision of Training to Military Personnel
- E4. Cost-Effectiveness and Priority of Learning Opportunities
- E5. Approval for Learning and Development Opportunities
- E6. Authorization of Funds for Travel and Other Indirect Training Costs
- E7. Continued Service Agreement
- E8. Long-Term Training
- E9. Funding for Professional Conferences and Meetings
- E10. Civilian Licenses, Certifications, and Related Expenses
- E11. Membership Fees
- E12. Training by Foreign Governments or International Organizations
- E13. Authorization for Civilian Academic Degree Training
- E14. College/University Tuition Assistance for Individual Courses
- E15. Individual Development Plan
- E16. Mandatory Training

E1. ENCLOSURE 1

REFERENCES, continued

- (e) DoD Directive 5110.4, "Washington Headquarters Services," October 19, 2001
- (f) Public Law 91-219, "Veteran's Education and Training Act," March 26, 1970
- (g) Joint Travel Regulations, Volume 2, "Department of Defense Civilian Personnel," current edition
- (h) Administrative Instruction No. 47, "Washington Headquarters Services Imprest Funds," May 18, 1987
- (i) Federal Workforce Flexibility Act of 2004, Public Law 108-411, October 30, 2004
- (j) DoD/WHS Memorandum, "Payment of Expenses to Obtain Professional Credentials," October 10, 2002
- (k) Secretary of Defense Memorandum, "DoD Strategies to Eradicate Sexual Harassment in the Military and Civilian Environment," July 12, 1991
- (l) DoD Directive 2000.12, "DoD Antiterrorism/Force Protection Program," August 18, 2003
- (m) Sections 102 and 202 of Public Law 107-174, "Notification and Federal Employee Antidiscrimination and Retaliation Act of 2002," May 15, 2002
- (n) DoD Directive 1350.2, "Department of Defense Military Equal Opportunity (MEO) Program," August 18, 1995

E2. ENCLOSURE 2

SERVICED ORGANIZATIONS' INTERNAL ADMINISTRATION

Serviced organizations shall provide leadership and direction in the development and execution of learning programs to maintain a well-trained, well-educated workforce within mission objectives by:

E2.1.1. Establishing an organizational Point of Contact responsible for communication with L&DD.

E2.1.2. Determining organizational learning needs and maintaining a plan to meet those needs.

E2.1.3. Developing budget estimate submissions based on needs assessment using tools for planning, programming, budgeting, operating, and evaluating programs within their organizations to support specific L&DD programs.

E2.1.4. Instituting management controls essential to the assurance of quality learning and development opportunities for employees and organizational adherence to merit system principles, such as maintaining records of employee(s) participating and allocating training funds.

E2.1.4.1. Management Commitment. Learning and development is an integral and inseparable responsibility of management. The competencies needed at each level of supervision must be developed to ensure effective employee performance, taking into account present as well as anticipated organizational needs for administrative, technical, professional, and managerial skills.

E2.1.4.2. Adherence to Merit System Principles. Serviced organization(s) must create a competitive selection process that ensures all employees have an equal opportunity for selection when funding limitations or quota restrictions effectively limit participation in L&DD programs. In accordance with Merit System Principles there shall be no discriminating based on race, color, religion, age, national origin, sex, marital status, physical handicap, or other factors unrelated to the need for development.

E2.1.4.3. Processing of Training Requests. Serviced organizations shall allow sufficient time for processing of training requests to assure that they reach L&DD at least 21 days before the learning event. All request(s) shall be approved by the employee's supervisor or other designated individual who may be contacted and initiate reimbursement proceedings if the employee fails to attend or satisfactorily complete authorized training.

E2.1.4.4. Oversight of Indirect Costs. Travel and other indirect costs associated with learning and development opportunities shall be monitored to ensure appropriate expenditure of travel funds.

E2.1.4.5. Recognition of Academic Degree Training Participants. Serviced organizations may recognize an employee as an academic degree training participant and may pay or reimburse the costs of academic degrees from their annual training allocation, appropriated or other available funds. (See Enclosure 13 for details.)

E3. ENCLOSURE 3

PROVISION OF TRAINING TO MILITARY PERSONNEL

E3.1.1. This Administrative Instruction covers military personnel for internal policy purposes when the learning and development is directly relevant to their duties in their current assignment.

E3.1.2. Training of military personnel is not covered per Section 4102 of Reference (c). The Military Departments have specific legislation that covers the career development of officers and enlisted personnel. However, military personnel are authorized to receive training under this Administrative Instruction when the training is required to improve competencies specifically needed for job performance in the serviced organization(s). Military personnel are not normally eligible for long-term development programs or tuition assistance. However, they can apply through their Military Service. L&DD sponsorship for academic tuition in the Tuition Assistance Program negates any payment under the Veterans Education and Training Act per Pub. L. 91-219 (Reference (f)). It is a punishable offense to accept duplicate Federal payment for the same training.

E3.1.2.1. The Military Departments shall fund the development of military personnel that is considered university/college, career or professional development, such as leadership or required for one's career occupational field.

E3.1.2.2. Training requests for military personnel must include their anticipated rotation date on the DD Form 1556, "Request, Authorization, Agreement, Certification of Training and Reimbursement," or its replacement form. Normally, military personnel shall not be approved for training within 6 months of completion of tour of duty.

E3.1.3. Programs such as the National Security Studies and the Brookings' Maastricht Seminar may have military participants. Military personnel are encouraged to examine and research nomination requirements and enrollment procedures for programs that they are interested in to determine eligibility. Off-duty voluntary education funds are not authorized. Military personnel interested in off-duty continuing education programs are advised to check their servicing education center for assistance with tuition assistance or Veteran Administration Educational Benefits.

E4. ENCLOSURE 4

COST-EFFECTIVENESS AND PRIORITY OF LEARNING OPPORTUNITIES

E4.1.1. Cost Effectiveness. Cost-effectiveness shall be considered for the following learning and development providers authorized to receive funds:

E4.1.1.1. Government Agencies or programs must be selected when adequate opportunities are reasonably available.

E4.1.1.2. Non-Government vendors and programs shall be selected only when adequate Government opportunities are not reasonably available or when Government Agencies or programs may be more expensive.

E4.1.2. Funding Priority Allocation for Learning and Development Opportunities. The following priority system shall be adhered to when allocating funds:

E4.1.2.1. Priority I. Learning and development opportunities must be accomplished during the immediate training cycle. Deferment of this opportunity may adversely affect the mission of the organization.

E4.1.2.2. Priority II. Learning and development opportunities required for systematic replacing of skilled employees through career management or other work force development programs. Deferment may adversely affect the mission over an intermediate term.

E4.1.2.3. Priority III. Learning and development opportunities designed to increase the efficiency and productivity of employees who are already considered competent. Deferment beyond the immediate cycle may have little immediate adverse mission effect but may prevent or delay improving present mission accomplishment(s).

E5. ENCLOSURE 5

APPROVAL FOR LEARNING AND DEVELOPMENT OPPORTUNITIES

Learning and development opportunities must be approved before an employee is enrolled in or committed to participating in a future learning event that obligates funds. Funds shall not be obligated to pay for the request until it has been approved by the immediate supervisor, the component coordinator, and the Assistant Director, L&DD, or other appropriate designee. The employee is liable for expenses incurred for fees paid without prior authorization.

E5.1.1. Employees are responsible for initiating DD Form 1556, "Request, Authorization, Agreement, Certification of Training and Reimbursement," or its replacement form, to request training even if there are no direct costs associated with the learning event. Requests shall be submitted to the L&DD at least 21 days before the learning event to provide necessary time for approval and completion of administrative processes required by the learning provider to ensure proper student registration. If the training request is received within one week of the event, the registration and payment may not be guaranteed. Late fees, cancellation fees, and related expenses may be charged to the employee's unit.

E5.1.2. Block 18 of the DD Form 1556 must fully justify the requested opportunity and show how it relates to the employee's duties as described in the position description. Justification is necessary to enable approval decisions according to regulations. The proposed learning and development opportunity must have a direct relation to the duties the employee is expected to perform. The only exception is when employees are authorized funds for academic degree training then they shall state: "Academic Degree Training Authorized for _____ Degree" and attach copy of approved degree training plan. (See Enclosure 13.)

E5.1.3. Employees who do not meet all criteria (e.g., grade level or prior experience) to attend learning events may be granted a waiver to attend, subject to special permission from both the employee's management and the Assistant Director, L&DD, or other appropriate designee. The employee must state a rationale in a memorandum. Employees approved for learning and development opportunities must attend the entire training event for which the Government has obligated funds. Any exceptions must be stated in a memorandum and approved by the Assistant Director, L&DD, or other appropriate designee.

E5.1.4. Employees who fail to attend or complete approved learning and development opportunities may be required to reimburse the government, less any refund or credit obtained. Employees are responsible for canceling, rescheduling, or finding an approved substitute if they cannot attend the approved learning and development opportunity. Employees ultimately are accountable for all late fees and charges assessed for untimely cancellation. Employees shall contact their Training Coordinator (TC) and the L&DD immediately if they cannot attend or finish the event. The TC consults with the L&DD on whether substitution or employee's reimbursement is the appropriate action.

E5.1.5. An employee who is a “no show” for a scheduled course must submit a memorandum through the employee’s supervisor to L&DD with an explanation for not attending the training course and for failure to notify the training officer prior to the training date. Until this notification is received, no further training will be approved for the employee.

E6. ENCLOSURE 6

AUTHORIZATION OF FUNDS FOR TRAVEL & OTHER INDIRECT TRAINING COSTS

If the employee shall require travel funds for training, the DD Form 1610, "Request and Authorization for TDY Travel of DoD Personnel" must be submitted with the DD Form 1556 for approval by the Assistant Director, L&DD, or other appropriate designee. The JTR, volume 2 (Reference (g)), governs authority of reimbursement for travel for training.

E6.1.1. Authorization of Taxis for Ground Transportation. Employees are expected to obtain cost-effective lodging within walking distance of the learning event. Rental cars are not authorized. Round-trip transportation via taxis is authorized from airports, trains, and bus stations to the learning site. Rare exceptions to this policy may be considered for employees with special transportation requirements; such requirements must be fully justified and include consideration of cost-effectiveness. Employees with special transportation requirements must submit them in writing and forward them along with the DD Form 1610 to the Assistant Director, L&DD, for review and approval or disapproval.

E6.1.2. Recognition of Car Pooling as Effective Cost-Savings. Serviced organizations shall encourage car-pooling when more than one person is to attend the same development opportunity or conference to maximize cost-effectiveness.

E6.1.3. Reimbursement for Local Travel. If an employee reports to a site that is within the local travel area, the employee may be reimbursed for travel to and from the education site according to Administrative Instruction No. 47 (Reference (h)). The need for reimbursement shall be determined by the AO and processed on the SF 1164, "Claim for Reimbursement for Expenditures on Official Business."

E6.1.4. Air Travel. Employees must use a contract carrier. Rare exception to this policy may be considered upon full justification of need and consideration of cost to L&DD.

E6.1.5. Per Diem. Per diem includes lodging, meals, and incidentals. Employees requesting per diem above the established government rate must provide full current justification of need to L&DD.

E7. ENCLOSURE 7

CONTINUED SERVICE AGREEMENT

A Continued Service Agreement form (part of the DD Form 1556) must be signed and submitted to the L&DD if a single learning and development opportunity exceeds 80 or more duty hours.

E7.1.1. The period of time for which employees must agree to continue in the service of their organization is for a minimum of three times the period of training and development (when both salary and training expenses are paid).

E7.1.2. The period of training and development is the number of hours spent in such activities while in pay status or when granted leave without pay. An employee assigned to full-time training and development is counted as being in such activities the same number of hours as his or her basic work schedule up to a maximum of 8 hours a day or 40 hours a week.

E7.1.3. A Continued Service Agreement shall be required for all long-term learning and development, defined as any programs and activities spanning 120 consecutive workdays or more.

E7.1.4. A Continued Service Agreement shall be required for all senior executives on sabbatical, which may be up to 11 months in duration. The length of the Continued Service Agreement shall be for 2 years, regardless of the length of the sabbatical.

E7.1.5. Employees who fail to fulfill their Continued Service Agreement may be required to reimburse the Government a sum no greater than the percent of the expenses, other than the employee's pay, and proportional to the percent of the agreement not completed. (A waiver may be approved for sufficient reasons, e.g., disability retirement, reduction in force.)

E8. ENCLOSURE 8

LONG-TERM TRAINING

Long-term training spans 120 consecutive work days or more and may be used to develop managerial and professional staff. Special long-term assignments and other learning and development opportunities may be proposed for extended study, research, or development. A list of long-term opportunities recognized as most beneficial in staff development is available from L&DD.

E8.1.1. Minimum eligibility requirements for candidates for long-term training are as follows:

E8.1.1.1 Must have demonstrated exceptional achievement in the performance of duties, intellectual maturity, and leadership ability.

E8.1.1.2. Must have career status or, if employed in the excepted service, an appointment without time limitation.

E8.1.1.3. Shall be a GS-12 or above with at least 5 years of Federal civilian service, unless exceptional circumstances justify the lowering of these requirements. Certain long-term training opportunities have a minimum grade level requirement above the GS-12. In those instances, the training eligibility requirements take precedence.

E8.1.1.4. Shall have at least 5 years of service left before eligibility for optional retirement.

E8.1.2. Employees who normally work 40 hours a week and who are assigned for full-time study are considered to be on duty for 40 hours each week during the academic study period. This includes any academic recess periods, providing the employee devotes these recesses to study and research in support of the full-time study program. Employees selected for these programs work until the last workday before classes start and report back to work the first workday after classes and/or tests end. Federal employees who are required to travel on official business during off-duty hours are entitled to compensatory time according to the Federal Workforce Flexibility Act of 2004 (Reference (i)). If employees take time off from schoolwork, or are absent because of sickness, they must report this time off to their serviced organization as leave in the appropriate category. Employees are advised to limit annual leave to periods of academic recess.

E8.1.3. Employees interested in long-term training programs shall work closely with their training coordinator to assure their training request is endorsed by their Component Head before sending it to L&DD for approval. Applications received without Component Head endorsement shall be returned to training coordinators, causing possible delay in the acceptance and/or admissions process of long-term training providers. It is critical that employees keep L&DD informed of all actions associated with organizational nomination procedures and the long-term

training provider's acceptance process. L&DD shall continue to monitor the application procedures and shall assist in the processing of all applicants' packages through the various long-term training programs. Questions on funding/approval of selected individuals may be directed to the L&DD HRD specialist responsible for the program.

E9. ENCLOSURE 9

FUNDING FOR PROFESSIONAL CONFERENCES AND MEETINGS

A conference may be approved as a learning and development event when the announced purpose is educational, more than half of the time is scheduled for information exchange, and the content is related to individual or organizational performance. Training funds may be used to support attendance at professional conferences and meetings only when those activities have the communication of professional knowledge as their primary purpose. There must be reasonable assurance that the conference or meeting agenda is related to organizational functions, and attendance shall contribute to the improved conduct, supervision, or management of pertinent missions, functions, or activities. Employees who are attending only as speakers shall not receive training funds.

E9.1.1. Operational meetings established for groups designated as task forces or to discuss operational issues cannot be approved as training under this authority. Professional meetings must be conducted by an experienced facilitator and must clearly relate to the professional growth of the employee. One of the goals for attendance at professional meetings and conferences is the effective communication of information, ideas, and knowledge in areas significant to the organization.

E9.1.2. Informational and instructional materials purchased by the employee at meetings or conferences are not reimbursable unless the cost is in the fee, or authorized by DD Form 1610, "Request and Authorization for TDY Travel of DoD Personnel." Materials distributed during the meeting or conference shall be shared with other colleagues. Organizations must limit attendance at meetings and conferences to no more than the number needed to accomplish the mission.

E10. ENCLOSURE 10

CIVILIAN LICENSES, CERTIFICATIONS, AND RELATED EXPENSES

E10.1.1. Serviced organizations may pay for civilian licenses and certifications when it is beneficial to the systematic development and enhanced job performance of employees in support of administration management objectives, departmental national security, or serviced organization mission imperatives.

E10.1.2. Additional guidance is given in the Director, Washington Headquarters Services, Memorandum, "Payment of Expenses to Obtain Professional Credentials" (Reference (j)).

E11. ENCLOSURE 11

MEMBERSHIP FEES

Payment of annual dues for membership in a professional organization is a personal expense, not reimbursable to the employee, even if the government would benefit from the employee's development because of the membership. Exceptions may be authorized by specific appropriation, express terms in a general appropriation, or agency membership may be obtained in its own name if membership is a primary benefit to the Government and the Department determines that such membership is necessary to carry out its statutory function. For example, membership fees may be paid when the employee is the DoD formal representative and the coverage of dues within the training fee is cost advantageous to the Government.

E12. ENCLOSURE 12

TRAINING BY FOREIGN GOVERNMENTS OR INTERNATIONAL ORGANIZATIONS

E12.1.1. The services of a foreign government or international organization may be used for training purposes if it has been established that comparable training is not available within the United States and attendance at U.S.-available training is not feasible.

E12.1.2. Foreign training approval process. A memorandum and other documentation related to the event shall be included with the DD Form 1556, "Request, Authorization, Agreement, Certification of Training and Reimbursement," and sent to L&DD 1 month prior to the training with:

E12.1.2.1. Name and location of facility;

E12.1.2.2. Brief description and summary justification of course of study to be undertaken;

E12.1.2.3. Reason for selection of facility;

E12.1.2.4. Name, position, title, and grade of employee attending training; and

E12.1.2.5. Brochures, fliers, or Web site address.

E12.1.3. L&DD is required to receive final approval from the State Department to validate the foreign vendor.

E13. ENCLOSURE 13

AUTHORIZATION FOR CIVILIAN ACADEMIC DEGREE TRAINING

E13.1.1. The Department of Defense may pay for degrees consistent with Section 4107 of Reference (c). This authority allows for funding of degree training that meets identified organizational goals associated with DoD strategic plans. Such academic training shall be part of a planned systematic program of civilian professional development endorsed by the Department.

E13.1.2. Employees who receive funds for academic training must sign a continued service agreement for each instance of training that exceeds 80 hours.

E13.1.2.1. Employees occupying or seeking to qualify for appointments to positions that are exempted from competitive service because of confidential policy-determining, policy-making, or policy-advocating character are ineligible for funding.

E13.1.2.2. Funding of employees participating in degree training shall be consistent with the merit system principles set forth in section 2301 of Reference (c). Furthermore degree-granting institutions which illegally discriminate on the basis of race, color, religion, age, sex, national origin, or disability shall not be allowed to provide academic degree training to civilian employees. Employees shall submit DD Form 1556, "Request, Authorization, Agreement, Certification of Training and Reimbursement," prior to commencement of approved degree programs.

E13.1.2.3. Employees requiring assistance in the selection of academic degree programs that support DoD strategic goals are encouraged to contact the L&DD Academic Degree Training Advisor for guidance and counseling.

E13.1.2.4. Responsibilities of serviced organizations. Serviced organizations are responsible for screening and identifying employees who may benefit from participation in academic degree training. The DoD Component Heads and the Principal Staff Assistants of the Secretary of Defense are authorized to approve participation in academic degree programs (this authority may be re-delegated consistent with efforts to delegate to AOs those actions that do not require approval of senior leadership).

E13.1.2.4.1. Selection of Employees. Merit System Principles must be adhered to in selection of employees for degree training programs.

E13.1.2.4.2. Maintenance of Individual Development Plans (IDPs). Employees participating in degree training programs shall prepare IDP's documenting the specifics of their degree program. IDPs may then be used by serviced organizations to track participation in and estimate overall costs for civilian employees. The IDP shall also assist serviced organizations in establishing administrative timelines appropriate to the needs of their employees and the academic institutions. (See Enclosure 15.)

E13.1.2.4.3. Reservation of Training Funds. Serviced organizations shall assure sufficient funds are available for academic degree training participants' tuition costs and other authorized expenditures. Given the numerous payment schedules available serviced organizations shall work with L&DD to assure funds are obligated in the best interest of the Government. For planning purposes, serviced organizations shall include in their Budget Estimate Submission to L&DD all known costs (direct and indirect) for degree participants:

E13.1.2.4.3.1. Direct Costs. Tuition payments may be made for post-secondary courses delivered through classroom, electronic, or other means, when said courses are administered or conducted by institutions that are accredited by nationally recognized accrediting organizations to provide a curriculum of post-secondary education.

E13.1.2.4.3.2. Indirect Costs. Payments may also be authorized for costs associated with academic supplies and equipment, program application fees, student registration fees, and parking expenses.

E13.1.2.4.3.3. Travel Expense. (See Enclosure 6.)

E13.1.2.5. Responsibilities of Academic Degree Training Participants

E13.1.2.5.1. Academic degree training participants shall keep L&DD informed of all academic institutional requirements (Academic Admissions, Degree Requirements, and Course Registration).

E13.1.2.5.2. Academic degree training participants shall submit DD Form 1556, "Request, Authorization, Agreement, Certification of Training and Reimbursement," prior to commencement of learning activities (courses, workshops, seminars, internships, etc.). (See Enclosure 5.)

E13.1.2.5.3. Academic degree training participants shall submit academic reports (semester grades, academic evaluations, etc.) to L&DD.

E13.1.2.6. L&DD Administration of Academic Degree Participants

E13.1.2.6.1. L&DD shall oversee registration of employees as individual-students, members of an academic-cohort, or enrollees in a government-contracted-degree-program.

E13.1.2.6.1.1. Registration as an individual-student provides the greatest flexibility to the employee, enabling the supervisor and organization to support individuals interested in academic training. Administration of degree training for individual-students requires the employee to work closely with L&DD and his or her academic degree provider to assure all institutional requirements are met according to the degree plan established for the individual. Employees registered as individual-students shall maintain an academic degree plan on file with L&DD documenting how training supports the organizational needs.

E13.1.2.6.1.2. Registration as an academic-cohort-member enables the Department of Defense to benefit from participation in learning programs designed for specific occupational specialties or professional fields. L&DD or serviced organizations shall work with professional associations, occupational organizations, and academic institutions to promote cohort-learning opportunities. Employees participating in academic-cohorts shall maintain an academic degree plan on file with L&DD that documents how training supports the organizational goals.

E13.1.2.6.1.3. Registration as an enrollee in a government-contracted-degree-program provides the Department of Defense the opportunity to train employees in specialized curricula that focuses on the participant's learning needs. In the absence of established academic-cohort programs or when it is more advantageous for the Department of Defense to initiate contracted-degree-programs to meet specific learning needs, L&DD may contract with institutions of higher learning to meet these needs. Employees enrolled in contracted-degree-programs shall maintain an academic degree plan on file with L&DD that documents how training supports the individual learning needs and shall be required to actively participate in evaluation of contracted-degree program to assure training needs are met.

E13.1.2.6.2. L&DD shall administer all funds required for individual-students, members of an academic-cohort, or enrollees in a government-contracted-degree-program. Prompt payment of tuition requires a DD Form 1556 to be submitted at least 21 days before training events.

E14. ENCLOSURE 14

COLLEGE/UNIVERSITY TUITION ASSISTANCE FOR INDIVIDUAL COURSES

The basic objective of tuition assistance is to encourage and assist employees to increase their knowledge, skills, and abilities to perform the mission of the organization. Requests must be approved prior to the beginning of the course and are subject to the same constraints and regulations as any other training in a non-government facility.

E14.1. GENERAL PROCEDURES

E14.1.1. Employees must submit an approved DD Form 1556, "Request, Authorization, Agreement, Certification of Training and Reimbursement," a minimum of 3 weeks prior to registration. A request for training must be approved and funded by their supervisor or his or her designee.

E14.1.2. Full-time employees may receive 100 percent tuition assistance, not to exceed two courses per semester, for education courses offered by regionally accredited colleges and universities in the employee's local commuting/duty area. L&DD will determine accreditation in the event of a dispute.

E14.1.3. Part-time training that overlaps with duty hours is usually conducted after hours. Supervisors may adjust work schedules for those courses which occur during work hours. It is the employee's responsibility to request any needed work adjustments before registering for courses. Agreement for such an arrangement will be in the form of a memorandum with the following statement:

"Participant trainee agrees to adjust hours of work to assure that a full 40 hours are accomplished each week." This statement must be initiated by the employee and approved by the supervisor. Employees are prohibited from receiving administrative leave for any part of the time they spend in educational courses.

E14.2. PAYMENT OF TRAINING EXPENSES

E14.2.1. The expenses of training, which may include such items as tuition, text books, fees, salary, per diem, and travel costs, are defined in Section 4109 of Reference (c). Payment of all or part of training expenses are subject to the availability of funds and that training has been pre-authorized under the provisions of this regulation. Specifically, L&DD will cover the costs of text books, technology and lab fees and library fees. Parking, activity, and registration fees are to be paid by the employee.

E14.2.2. Employees will not be paid holiday, overtime, compensatory time, or night differential pay while in training except as required by the Fair Labor Standards Act. Employees working alternate work schedules shall follow Agency guidance for work schedule reporting.

E14.3. REIMBURSEMENT PROCEDURES FOR TUITION ASSISTANCE

E14.3.1. Employees are required to submit the original academic grade report to their training officer within 6 weeks after the end of an academic term. Reproduced copies will not be accepted.

E14.3.2. Employees attending undergraduate courses must receive a minimum grade of "C" or a Grade Point Average (GPA) of 2.0 on a 4.0 scale or better for each course sponsored by the Agency.

E14.3.3. Employees attending graduate courses must receive a minimum grade of "B" or GPA 3.0 on a 4.0 scale or better for each course sponsored by the Agency.

E14.3.4. Employees will be required to reimburse the Agency for the cost of the tuition and any other applicable costs under the following conditions: failure to obtain a minimum GPA, withdrawal from the course, change attendance to an audit status or fail to fulfill their agreement to continue in service. This reimbursement is due within 2 weeks of either event. If payment is not received, L&DD will initiate collection proceedings through the employee's supervisor and employees will become ineligible to receive further tuition assistance until such debts are paid.

E14.3.5. Employees who fail to report their grades for such classes will be ineligible for future sponsorship.

E14.3.6. Employees may request exemption from reimbursement when job-related duties or major health problems have significantly interfered with satisfactory completion of the course. Such requests must be fully documented in writing through the employee's supervisor and designated directorate head for consideration.

E14.3.7. If it becomes necessary to withdraw from or audit a course, the employee must forward a written notification to L&DD explaining the reason for change in status. The memorandum must be endorsed by the employee's supervisor and should include: the name of college/university, course title, number of credit hours, class dates, date on which the withdrawal or change to audit became effective, total number of hours and classes attended, and any other pertinent information.

E14.3.8. It is the employee's responsibility to officially withdraw from or change to an audit status in compliance with established college/university procedures. Timely handling of these kinds of situations could result in a reduction of cost to the Government and/or a lessening of the employee's liability for tuition costs incurred.

E14.3.9. If the employee separates from the Agency before completion of an approved course in the tuition assistance program or before fulfilling an obligation under a training agreement, the employee will be obligated to the Government for the costs incurred in sponsorship of the training. A memorandum will be sent from employee's supervisor to L&DD requesting collection of all costs associated for such training from the employee.

E14.3.10. If an approved course is not available at the time the employee registers, the employee must notify his or her training officer or designated directorate head that the course will not be attended. Individuals would need to reapply for an alternate course or any future offerings of the same course.

E14.3.11. An employee may register for a replacement course in the same discipline as the previously sponsored course only if approval is obtained from his or her designated directorate head prior to the start of classes. If the replacement course is not approved prior to the start of the course or if the course is not relevant to either the employee's current job/position or to the mission of the employee's organization, the course will not be authorized by the Agency. If the employee then chooses to attend the course, he/she will assume all financial responsibility for such training.

E14.3.12. Participation by military personnel in career education and training through non-government facilities must be approved and funded under appropriate military training authorities or authority other than the Government Employees Training Act.

E14.3.13. L&DD sponsorship for academic tuition in the Tuition Assistance Program negates any payment under the Veterans Education and Training Act (Reference (f)). It is a punishable offense to accept duplicate Federal payment for the same training.

E15. ENCLOSURE 15

INDIVIDUAL DEVELOPMENT PLAN

Individual Development Plans (IDPs) are a valuable and a necessary part of the creation of a learning and development plan for both the employee and serviced organization. IDPs are documented development plans that are established to identify needs for performance improvement, new competencies, professional education, degree programs, and any organizational or occupational requirements of the employee. IDPs shall be prepared through supervisor and employee collaboration. Information gained from IDPs shall assist the serviced organizations in establishing learning and development needs and identifying funding requirements with the priorities outlined in the organizational plan.

E15.1.1. IDPs are mandatory for certain specific programs such as upward mobility, acquisition careers, academic degree training, and the Defense Leadership and Management Program.

E15.1.2. Creation of an IDP is not an automatic approval for learning and development opportunities. Requests must be reviewed and approved according to the policies in this Administrative Instruction.

E16. ENCLOSURE 16

MANDATORY TRAINING

Serviced organizations shall ensure that employees complete all training that is mandated by law, regulation, executive order, or other memorandum. HRD provides advice, assistance, and guidance to serviced organizations in fulfilling mandatory training requirements.

E16.1. COMPUTER SECURITY TRAINING

Serviced organizations shall provide initial, continuing, and refresher training to all employees who are responsible for managing or using computer systems that process sensitive information, including executives; program and functional managers; information resource management; security and audit personnel; automated data processing management; operations; and programming personnel; and end users. Training shall include computer security basics, computer security policies and procedures, contingency planning, and systems life-cycle management.

E16.2. ETHICS TRAINING

Serviced organizations shall provide each new employee, within 90 days of the date of entrance on duty, 1 hour of duty time to review the ethics materials, and any additional serviced organizations' regulations, or a training course that covers similar information. In addition, the serviced organizations shall provide a minimum of 1 hour of annual ethics training to all employees whose official duties may make such training mandatory.

E16.3. PREVENTION OF SEXUAL HARASSMENT TRAINING

Serviced organizations shall provide training programs to teach employees at all levels how to identify and prevent sexual harassment, consistent with requirements established in Secretary of Defense Memorandum, "DoD Strategies to Eradicate Sexual Harassment in the Military and Civilian Environment" (Reference (k)).

E16.4. ANTITERRORISM TRAINING

Serviced organizations shall provide antiterrorism awareness training to orient all personnel, military and civilian, on the general terrorist threat and the personal protection measures that could reduce their individual vulnerability to acts of terrorism, according to DoD Directive 2000.12 (Reference (l)).

E16.5. HUMAN IMMUNODEFICIENCY VIRUS (HIV)/ACQUIRED IMMUNE DEFICIENCY SYNDROME (AIDS) INFORMATION

Information on HIV/AIDS workplace and prevention issues shall be incorporated into orientation programs for new employees and basic training for supervisors, managers, and executives.

E16.6. NEW EMPLOYEE ORIENTATION

All new employees shall attend an orientation (e.g., DoD Business Essentials) and complete an Individual Development Plan (IDP) to assure personnel are knowledgeable about the DoD environment and know how to request training that shall improve individual and organizational performance. Supervisors shall schedule employees for the next available orientation within the first 3 months of employment.

E16.7. EXECUTIVE, MANAGERIAL, AND SUPERVISORY TRAINING

Serviced Organizations shall systematically develop executives, managers, supervisors, and candidates for these positions. Programs shall provide for initial training of incumbents, proficiency training for managers at current levels, and progressive development for higher management levels.

E16.7.1. All newly appointed first-level supervisors are required to take 40 hours of development in supervision within 6 months of entering the supervisory position. Another 40 hours are required within 2 years after entering the supervisory position.

E16.7.2. Employees who have had at least 2 years of supervisory experience within the 5 years immediately preceding entering into a first-level supervisory job shall be exempted from 40 hours of the development. Employees having previous supervisory development shall substitute appropriate course work to enhance their skills in their position.

E16.8. EQUAL EMPLOYMENT OPPORTUNITY (EEO) TRAINING

WHS/HRD/Equal Employment Programs Division (EOPD) will be the office of primary responsibility for facilitating all training related to EEO and Senior Executive Equal Opportunity Seminar (SEEOS).

E16.8.1. Serviced organizations shall provide to all employees training regarding the rights and remedies available under Federal anti-discrimination, whistleblower and retaliation laws, according to Section 202 of Pub. L.107-174 (Reference (m)). In addition, supervisors shall also receive training in managing a diverse workforce, dispute resolution, and other essential communication skills, according to Section 102 of Reference (m). All employees will attend an initial 3-day training course that will meet the aforementioned requirements along with anti-harassment (including sexual harassment) training. Employees will attend this training within 6

months of entering on duty. After completion of the initial course, employees will attend a 1-day refresher training course on a biannual basis.

E16.8.2. Serviced organizations shall provide SEEOS and briefings for senior civilian and military leaders, including a mandatory 2-day program for all officers newly appointed to the grade of brigadier general or rear admiral (lower half) and all new members of the Senior Executive Service (SES). This training should be conducted within 6 months of their assignment. The SEEOS training will also be available for officers in the grade of major general and rear admiral, and above, and DoD civilians serving in SES positions. All SEEOS training will meet the requirements as prescribed by DoD Directive 1350.2 (Reference (n)).

E16.9. APEX ORIENTATION FOR SENIOR EXECUTIVES

The APEX orientation program is the initial orientation course for new senior executives (career and non-career) appointed within the 2 years preceding the date the program begins. All DoD civilian employees who have been in the Senior Executive Service for less than 1 year are required to attend. The APEX program is the civilian counterpart to the military's CAPSTONE program for Flag Officers and is designed to enhance leadership in a joint military environment.