



Administration
& Management

OFFICE OF THE SECRETARY OF DEFENSE
1950 DEFENSE PENTAGON
WASHINGTON, DC 20301-1950

August 24, 1993

ADMINISTRATIVE INSTRUCTION NO. 40

SUBJECT: Employee Career Development and Training (ECD&T)

- References:
- (a) Administrative Instruction No. 40, subject as above, March 26, 1990 (hereby canceled)
 - (b) Public Law 85-507, "Government Employees Training Act," July 7, 1958
 - (c) [DoD 1400.25-M](#), "Department of Defense Civilian Personnel Manual," July 1978 (Chapter 410, "Training")
 - (d) [Administrative Instruction No. 47](#), "Washington Headquarters Services Imprest Funds," May 18, 1987
 - (e) Federal Personnel Manual, Chapter 410, "Training"

1. REISSUANCE AND PURPOSE

This Instruction reissues reference (a) and updates policy and responsibilities for training to improve the effectiveness of personnel in the performance of their duties and to develop individual potential.

2. APPLICABILITY AND SCOPE

This Instruction:

2.1. Applies to the Office of the Secretary of Defense, the Chairman of the Joint Chiefs of Staff and the Joint Staff, Washington Headquarters Services (WHS), and other activities serviced by the Directorate for Personnel and Security, (hereafter referred to collectively as "serviced organizations").

2.2. Contains policy and guidance for managing and administering employee training programs to include:

2.2.1. Conducting surveys of training needs of serviced organizations and maintaining a training plan to meet those needs.

2.2.2. Preparing, managing, and monitoring the training budget for organizations assigned for administrative support (i.e., approving indirect costs such as travel).

2.2.3. Reviewing, approving, and disapproving individual training requests and ensuring compliance with requirements of law and regulations.

2.3. Covers military personnel for internal policy purposes when the training is directly relevant to their duties in their current assignment, even though they are not covered by the Government Employees Training Act (reference (b)).

3. POLICY

3.1. Management Commitment. Training is an integral and inseparable responsibility of management. At each level of supervision, there must be a commitment to develop the competencies needed to ensure effective employee performance, taking into account present as well as anticipated future needs for administrative, technical, professional, and managerial skills.

3.2. Mission. It is the mission of the ECD&T Division to provide training necessary to ensure maximum efficiency and effectiveness of civilian employees and military members in the performance of their official duties with organizations assigned for administrative support.

3.3. Selecting Individuals for Training

3.3.1. In selecting individuals for training opportunities, there shall be no discrimination because of race, color, religion, age, national origin, sex, marital status, physical handicap, or other factors unrelated to the need for training.

3.3.2. An employee having less than 1 year of current, continuous civilian service is ineligible for training in a non-Government facility unless waived by the Assistant Director for ECD&T. These cases are considered on an individual basis and require written justification. Temporary employees are not normally authorized to

receive training in non-Government facilities unless critically needed skills cannot be obtained through Government facilities or can be obtained at less cost in non-Government facilities.

3.4. Cost-Effectiveness and Priority of Training. Government facilities must be selected when adequate training is reasonably available from them. Non-Government facilities shall be selected only when adequate Government training is not reasonably available or when Government facilities would be more expensive. The following priority system under DoD 1400.25-M (reference (c)) shall be used when allocating training resources:

3.4.1. Priority I. Training that must be accomplished during the immediate training cycle. Deferment of this training would adversely affect the mission of the organization.

3.4.2. Priority II. Training required for systematic replacement of skilled employees through career management or other work force development programs. Deferment would adversely affect the mission over an intermediate term.

3.4.3. Priority III. Training designed to increase the efficiency and productivity of employees who are already considered to be competent. Deferment beyond the immediate training cycle would have little immediate adverse mission effect but would prevent or delay improving present mission accomplishment.

3.5. Approval for Training. Approval for training is required BEFORE an employee can enroll in or make any commitment for training. Funds shall not be obligated to pay for training until the request has been approved by the first- and second-level supervisors, the component training coordinator, and has been reviewed and approved by the Assistant Director for ECD&T or the Director, Personnel & Security.

3.5.1. To request training, the Standard Form (SF) 182, "Request, Authorization, Agreement and Certification of Training," or its replacement form, shall be completed and submitted to the ECD&T Division, WHS. Instructions for preparing the form are available by calling the ECD&T Division, (703) 607-3468. The training request should be submitted for approval at least 30 days before the start date of a class to provide time for the administrative process and coordination with the vendor to ensure timely registration.

3.5.2. In block 16 of the training form, supervisors must fully justify the requested training and show how it relates to the employee's duties as described in the position description. If needed, an attachment may be submitted with the form.

3.5.3. Employees approved for training must attend the entire training program for which the Government has obligated funds. Any exceptions shall be stated in a memorandum to the Assistant Director for ECD&T.

3.5.4. Employees who do not attend or complete approved training may be required to reimburse the Government for the training (less any refund or credit obtained).

3.6. Travel and Other Indirect Costs. Travel and other indirect costs associated with training shall be monitored to ensure appropriate expenditure of travel funds for persons who attend conferences and training.

3.6.1. Taxis are authorized to and from airports, trains, and bus stations. Employees are expected to obtain lodging within walking distance of training sites whenever possible and most cost-effective. Rental cars generally are not authorized for training purposes. Rare exceptions to this policy may be considered, but must be fully justified in terms of cost-effectiveness and submitted in writing to the Assistant Director for ECD&T for review and approval or disapproval.

3.6.2. If more than one person is to attend the same training session or conference, they will travel together when the result is a cost savings.

3.6.3. If travel is included as a part of the training expense, a "Request and Authorization for TDY Travel of DoD Personnel" (DD Form 1610) must be submitted with the Training Request for approval by the Assistant Director for ECD&T.

3.6.4. If an employee reports to a training site that is within the local travel area, the employee may be reimbursed for travel to and from the training site in accordance with Administrative Instruction No. 47 (reference (d)). The need for the reimbursement shall be determined by the Administrative Officer of the component and processed on the SF 1164, "Claim for Reimbursement for Expenditures on Official Business."

3.7. Individual Development Plans (IDPs). IDPs are documented training plans that are established to address deficiencies and to develop individual employee potential. The IDP is primarily used to improve satisfactory performance or to deal with poor performance. It is used to set the employee's short-range (1-2 years) and long-range (3-5 years) goals that relate to the present and possible future needs of the organization. The IDP dovetails employee career considerations with the needs of the organization and the performance appraisal process. The goal is to improve the overall effectiveness of the organization by enhancing individual performance.

3.7.1. While IDPs are not mandatory, except for members of the Senior Executive Service and for certain other specific programs (e.g., upward mobility and the acquisition career program), they are, however, useful documents and managers are encouraged to use them in planning training for employees.

3.7.2. It must be noted that the documentation of a training plan is not an automatic approval for training. Training requests must still be reviewed and approved in accordance with the policies in this Instruction.

3.8. Continued Service Agreement. When non-Government training exceeds 80 hours and the Government pays the training expenses, an employee must agree before the training, in writing, to a period of continued service after the training is completed.

3.8.1. The minimum period of time for which an employee must agree to continue in the service of his or her Agency is three times the period of training when both salary and training expenses are paid.

3.8.2. A longer period may be required if justified by the costs of the training or other factors.

3.8.3. The period of training is counted as being the number of hours spent in class. An employee assigned to full-time training is counted as being in training 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. For an employee assigned to training on less than a full-time basis, the period of training is the number of classroom hours.

3.8.4. An employee who fails to fulfill his or her 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, proportional to the percent of the agreement not completed.

3.9. Long-Term Training

3.9.1. Long-term training covers 120 consecutive work days or more and may be used to develop managerial and professional staff. Special long-term assignments and other professional development opportunities may be proposed for extended study, research, or development. A Continued Service Agreement shall be required for all long-term training programs and activities in non-Government facilities. The proposed study or research program must have a direct relationship to the duties the employee is expected to perform. A list of long-term training opportunities recognized as most beneficial in staff development is available in the ECD&T Division office.

3.9.2. Minimum eligibility requirements for candidates for long-term training:

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

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

3.9.2.3. Should be a GS-12 or above with at least 5 years of Federal civilian service, unless exceptional circumstances justify the lowering of these requirements.

3.9.2.4. Should normally have at least 5 years of service left before eligibility for optional retirement.

3.9.3. An employee who normally works 40 hours a week and who is assigned for full-time study is considered to be on duty for 40 hours each week during the academic study period, including any academic recess periods, providing the student 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, except that additional time will be allowed for authorized travel when required. If an employee takes time off from school work, or is absent because of sickness, the employee must report this time off to his or her parent organization as appropriate leave. Employees are advised to limit annual leave to periods of academic recess.

3.10. Training of Military Personnel

3.10.1. It should be noted that training of military personnel is not covered under the Government Employees Training Act (reference (b)). 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 Instruction when the training is required to improve skills specifically needed for job performance in the serviced organization. Military personnel are not normally eligible for long-term training programs through this Instruction and should apply through their Military Service.

3.10.2. Training of military personnel that is considered career or professional development, such as leadership training or training required for one's career occupational field, shall be funded by the Military Departments.

3.10.3. Training requests for military personnel must include their date of anticipated rotation on the SF 182 or replacement form. Normally, military personnel within 6 months of completion of tour of duty will not be sent to training.

3.11. Attendance at Professional Meetings and Conferences

3.11.1. Training funds may be used to support attendance at professional meetings and conferences only when those activities have the communication of professional knowledge as their primary purpose. There must be reasonable assurance that the meeting or conference agenda is related to organizational functions, and attendance will contribute to the improved conduct, supervision, or management of pertinent missions, functions, or activities.

3.11.2. Operational meetings established for groups designated as task forces or to discuss operational issues cannot be approved 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.

3.11.3. Information and instructional materials received at meetings or conferences are to be shared with other office staff members. Organizations must limit attendance at meetings and conferences to no more than the number needed to accomplish the mission.

3.12. Tuition Assistance

3.12.1. Training funds may be used to support off-duty college and university courses for civilian employees that are directly related to the duties the employee is expected to perform. No more than two courses will be approved during a single school term (semester or quarter). Military personnel are provided monetary support to attend off-duty courses through their appropriate Military Service off-duty educational programs or applicable educational programs sponsored by the Veterans Administration.

3.12.2. Only fees that are related to and required for the course of instruction shall be approved for payment with Government funds. These include tuition, instructional services fees, registration, lab fees, and books. Other fees such as student activity fees, application, late registration, parking, graduation and supplies shall be at the student's own expense.

3.12.3. Course substitutions may NOT be made without prior approval of the Assistant Director for ECD&T.

3.12.4. To have tuition assistance approved for subsequent courses, the individual must receive a grade of C or better on previous courses paid with Government funds. If the course is graded on a system other than A-F, the final grade must be satisfactory.

3.12.5. Before subsequent courses will be approved for an individual, copies of grade reports of courses taken during the last term attended must be attached to the new request(s). If the employee took two courses during one term, the individual must have earned a grade of C or better in each course, and both grade reports must be attached to each new request.

3.12.6. If the individual has not received a grade report before the registration date for subsequent courses, he or she must submit a written request to the Assistant Director for ECD&T for authorization for approval pending the receipt of satisfactory grade reports. If satisfactory grade reports are not received within 10 working days of issuance by the institution, the employee will be required to reimburse the Government for the cost of any courses that were approved conditionally under this authority.

3.12.7. To have an off-duty, job-related college course approved after having received an unsatisfactory grade report on a course paid for with Government funds, the student must show satisfactory completion (C or better) of the same course subsequently taken at the individual's own expense or another job-related course from the same institution taken subsequent to the unsatisfactory course. Students who drop courses shall be responsible for any costs incurred, including any text books purchased.

3.13. Special Training Programs

3.13.1. New Employee Orientation. All new civilian employees shall be scheduled for a group orientation on the third Monday of the month after they enter on duty. Attendance is mandatory. This orientation shall cover the organization of the Department of Defense, security, and other topics of importance to new employees.

3.13.2. Supervisory Training

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

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

3.13.2.3. Each newly appointed, first-level supervisor shall be notified by the ECD&T Division and advised of a schedule of training to meet the requirements.

4. RESPONSIBILITIES

4.1. The Director of Administration and Management, Office of the Secretary of Defense, shall develop policy for and implement training programs within the organizations assigned for administrative support. Long-term training programs are approved by the Director of Administration and Management, Office of the Secretary of Defense.

4.2. The Director of Personnel and Security, Washington Headquarters Services, shall administer the operating policy and procedures detailed in this Instruction within the guidelines established in Pub. L. No. 85-507 (1958), DoD 1400.25-M, and Chapter 410 of the FPM (references (b), (c), and (e)). The Director shall approve or disapprove individual requests when the direct costs of training are \$15,000 and over.

4.3. The Assistant Director for Employee Career Development and Training, Personnel and Security Directorate, shall:

4.3.1. Administer training programs within organizations assigned for administrative support.

4.3.2. Review and approve or disapprove all other individual requests for direct costs of training under \$15,000 and for related travel costs, and make recommendations on those requests of \$15,000 and over for approval or disapproval of the Director of Personnel and Security.

4.3.3. Forward approved training requests to the organization conducting the training. Perform all administrative details connected with the training, such as registration, bill processing, etc.

4.3.4. Obtain evaluation reports from employees and supervisors after the completion of the training.

4.3.5. Serve as a focal point for training information and career counseling for serviced organizations.

4.3.6. Advise management and employees in preparing and implementing general and individual career development plans and in determining solutions to training problems and/or issues.

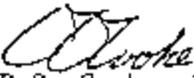
4.3.7. Announce training opportunities within serviced organizations.

4.4. Supervisors are responsible for determining their employees' needs and the type of training that is required to meet these needs. Types of training include on-the-job training, formal classroom instruction, correspondence courses, directed self-study, rotational assignments, and professional conferences and seminars. Supervisors must ensure that the training is job-related and fully justified when nominating employees for training. Supervisors are responsible for providing an opportunity to use the skills acquired and for evaluating the effects of training on the organization.

4.5. Employees are responsible for formulating their own training plans in cooperation with their supervisors, for completing scheduled training, for utilizing skills learned, and for evaluating their training experiences. Employees are also responsible for notifying the ECD&T Division of any changes to approved training, such as cancelations.

5. EFFECTIVE DATE

This Instruction is effective immediately.


D.G. Cooke, Director
Administration and Management