ARS ❑ CSREES ❑ ERS ❑ NASS

Policies and Procedures

Title: Employee Training and Development

Number: 440.1

Date: July 21, 1998

Originating Office: Human Resources Division, Eastern Services Branch, AFM/ARS

This Replaces: ARS 440.1 dated 9/14/92, ARS 440.3 dated 8/7/90, EMS 4410 dated 8/2/94, CMS 4120-1 dated 3/29/91

Distribution: REE Offices in Headquarters, Areas & Field Locations

This P&P revises employee training and development policy and guidelines for the REE mission areas to reflect current regulations issued by the Office of Personnel Management. It also provides instructions for completing the SF-182.

Table of Contents

1.   Authorities

The Government Employees Training Act (GETA) became law in 1958 giving Federal agencies general authority for employee training. 5 C.F.R. part 410 was restructured and revised in 1996 to reflect changes to Chapter 41 of Title 5, U.S.C. The current rules provide agencies additional flexibility, reduce restrictions on training, and make training a more responsive management tool.

2.   Definition

The definition of training expands from training directly related to the performance of official duties to any training that improves individual and organizational performance and assists an agency in achieving its mission and performance goals.

3.   General Policy and Guidelines for Training

It is the policy of REE to make training available to employees to meet the needs of both the organization and the employee in order to build and retain a work force of skilled and efficient employees.

- All training must be related to the mission and performance goals of the REE agencies.

- The selection of employees for training is made without regard to political preference, race, color, religion, national origin, gender, marital status, age, disability, or sexual preference, and with proper regard for their privacy and constitutional rights as provided by merit system principles set forth in 5 U.S.C. 2301(b)(2) (1996).

- A full range of options may be used to meet mission-related organizational and employee development needs, such as classroom training, on-the-job training, technology-based training, distance learning, self-development activities, coaching, mentoring, career development counseling, details, rotational assignments, cross training, and developmental activities at retreats and conferences.

- Government and non-government training facilities may be used. (Prior regulatory constraints regarding use of non-government training facilities and time restrictions such as 1 year in 10 have been eliminated.)

- 5 U.S.C. 4107(a) (1996) prohibits training to obtain an academic degree in order to qualify for appointment to a particular position or for the sole purpose of providing an opportunity to an employee to obtain one or more academic degrees.

However, an agency head may provide training, payment, or reimbursement for the cost of any training, if necessary, to assist in the recruitment or retention of employees in occupations in which the Government has or anticipates a shortage of qualified personnel, especially in occupations involving critical skills. In exercising such authority, an agency must be consistent with merit system principles.

The prohibition of training to obtain an academic degree is not to be construed as limiting the authority of agencies to approve and pay for training expenses to develop knowledge, skills, and abilities directly related to improved individual performance. If, in the accomplishment of such training, an employee receives an academic degree, the degree is an incidental byproduct of the training.

- Employees selected for training through non-government training facilities that exceeds 120 hours within a single program shall agree in writing **before** the training that they will continue in the service of the agency after the end of the training for a period equal to at least three times the length of the training period unless they are involuntarily separated from the service of the agency.

  The same authority, guidelines, and approval process apply to temporary employees.

- An agency may not use its funds, appropriated or otherwise available, to pay premium pay to an employee engaged in training by, in, or through Government or non-government facilities. Exceptions may apply. For further guidance on leave and pay, see ARS P&P 402.3, "Premium Pay."

- Persons on Intergovernmental Personnel Act mobility assignments may be assigned to training if that training is in the interest of the Government.

- Agencies may provide training for State or local government employees under certain conditions. Exceptions may apply--consult with the Employee Development Section.

- In the Student Career Experience Program students are hired to work in their academic field. They are eligible for a noncompetitive conversion to a permanent Federal position upon completion of their academic course work. Agencies may pay for all or part of the training expenses of students hired under this program.

4. Delegations and Approval Levels

REE agency heads are authorized to approve:

- Training for employees who report to them.

- Training involving the acceptance of a contribution, award, or payment (in cash or in kind) of travel, subsistence, and other expenses.

- Academic degree training to relieve recruitment and retention problems in occupations in which the agency has or anticipates a shortage of qualified personnel.

- Training for more than 120 calendar days for all agency employees.

- Waivers for employees under continued service agreement obligations.

Supervisors and Managers are authorized to:

- Approve or recommend short-term training for employees who report to them. NOTE: If supervisors or managers are fundholders, they will approve training. If supervisors or managers are not fundholders, they will recommend approval to the appropriate fundholder.

- Recommend training involving the acceptance of a contribution, award, or payment (in cash or in kind) of travel, subsistence, and other expenses.

- Recommend long-term training of more than 120 calendar days for employees who report to them.

- Review waivers for continued service agreement obligations for their employees and forward to agency head.

5. Individual Development Plans

Purpose

An Individual Development Plan (IDP) is a written plan used to systematically identify and record appropriate training and development activities that enhance an employee's performance in a current or projected future assignment. All employees and supervisors must complete or update an IDP each year within 30 days of the annual performance appraisal. The IDP should include input from both the employee and supervisor.

Using the IDP form designated by their agency, REE employees and supervisors should record the following: (1) identified developmental needs, (2) activities proposed to meet the needs, (3) dates of the activities, and (4) any direct costs required to meet the needs (tuition, travel, materials, etc.).

Process

An IDP is the end result of a process of analyzing the developmental needs of an employee in conjunction with broader issues and forces that have an impact on organizational and program effectiveness.

Employees' role:

- Take initiative in the IDP process.

- Assess their strengths and weaknesses and short- and long-term goals.

- Research and propose activities that meet identified needs.

- Complete IDP activities and provide supervisor with feedback on training activities.

- Maintain the official copy of their IDP; modify their IDP as necessary.

Supervisors' role:

- Assess developmental needs based on an employee's current performance standards and appraisal as well as organizational needs.

- Jointly prepare an IDP with employees.

- Consider availability of funds.

- Assure fair and equitable treatment for employees in all matters related to training and development.

Employee Development Section's role:

- Publicize training opportunities of general interest.

- Assist employees with IDP preparation on request.

- Assist in reviewing IDP's for common training needs and in developing training programs in response, if requested.

Meeting Developmental Objectives

Employees and supervisors should consider the following options to meet identified training needs:

- Self-development activities (reading, volunteer work, course work at a local school or college).

- On-the-job training (cross-training, details, special assignments).

- Conferences, exhibits.

- Formal, correspondence, and Internet courses (and other technology-based training).

Resources Available

For further information, an IDP brochure and videotape are available. Please contact the Administrative and Financial Management (AFM) SMART Center on 301-504-1428.

6.   Procedures for Completing Form SF-182

Form SF-182 is the official training document which requests, authorizes, and records training. The SF-182 may be completed either manually or electronically. The originating office will use the following instructions for completing the SF-182.

BLOCK	ENTER
A	Employee Agency Codes
B	Enter the Training Document Number (TDN) (**ARS only**) For CSREES: AFM-FMD-FOB assigns the TDN.
1	Trainee's last name, first name, middle initial, and the last five letters of last name in the shaded area.
2	Trainee's Social Security Number (SSN).
3	**Complete only for OPM and GSA courses.** Enter trainee's year/month of birth, e.g., 43/01.
4	**Complete only for OPM and GSA courses.** Trainee's complete home address.
5	**Complete only for OPM and GSA courses.** Trainee's home telephone number.
6	An "X" in the appropriate space.

7	Trainee's organization and complete address to include city, state, and zip code. Include the room number.
8	Enter office telephone number.
9-10	Complete if long-term training.
11a	Trainee's position title/function.
11b	If the applicant is disabled or handicapped and in need of special arrangements (Brailing, taping, interpreters, facility accessibility, etc.), describe the special arrangements on a separate sheet and attach to the Vendor Copy (copy 3). NOTE: The applicant is not required to furnish this information. Trainee's signature on the descriptive sheet indicates agreement to release it to training vendors.
12	Trainee's pay plan, series, grade, and step.
13	**Complete only for OPM and GSA courses.** Use the following symbols to show the type of appointment. C = Career EP = Excepted Permanent T = Temporary Term = Term
14	Complete **only** for long-term training programs (over 120 days). Enter the highest degree attained.
15a	The name and complete address of the vendor. Include city, state, and zip code.
15b	The location of the training, if same, place an X in the box.
16	The course title and objectives.
17	Enter Catalog/course number, if provided by the vendor.
18	The starting and ending dates (year, month, day).
19	The total number of course hours. Use four digits; e.g., 0008 *hours*.
20	See instructions and Exhibits A, B, and C.
21	Enter the current fiscal year's 10 or 14 digit financial data code.
21 a, b, c	Enter the dollar amount as appropriate for each item. If any costs were paid from an imprest fund or reimbursed to an employee, enter the words "Imprest Fund" or "Reimbursement" directly across from the item.
21d	Enter the total dollar amount to be paid to the vendor.
22	Enter amounts for travel and per diem.

23 ARS and CSREES	Enter document control number (same number as Block B)
23 NASS and ERS	An appropriate accounting code.
24	12-40-0001. **Federal Government interagency training only.**
25 NASS & ERS	USDA/NFC/MPS ATTN: TANO BUILDING P.O. Box 60000 New Orleans, LA 70153
25 CSREES	USDA/ARS/AFM/FMD 14TH AND INDEPENDENCE AVENUE, SW ROOM 4317 WASHINGTON, DC 20250
25 ARS	USDA/NFC/FSD/ARS REPORTING SECTION #4 P.O. BOX 53326, TANO BUILDING NEW ORLEANS, LA 70153
25 All agencies	If the cost of the training is paid for by Purchase Order, Government purchase card, or employee reimbursement, enter this information: "Purchase Order", "Reimbursement to Employee", or "Government Purchase Card". For Federal Government Interagency Training *only*, use this address: USDA, NFC Miscellaneous Payment Unit Post T-44, P.O. Box 60000 New Orleans, LA 70153
26a	Your immediate supervisor's name, title, and telephone number
27a	Enter the division director's name, title, and telephone number.
28 (NASS, CSREES, & ERS)	**Eileen F. Wolfe** **Supv. Emp. Dev. Spec. 301-344-5440.** **AFM**
28 (ARS)	The Area Office or training designee.
29	As appropriate, enter officials name, title, etc.
30	As appropriate, enter name, title, etc.

7.   SF-182 Distribution

	AGENCY USE			VENDOR COPIES		EMPLOYEE USE	AGENCY USE		EMPLOYEE USE	AGENCY USE
	Copy 1 AGENCY (TRAINING/ PERSONNEL FOLDER)	Copy 2 AGENCY (DATA PROSES-SING COPY)	Copy 3 VENDOR (AGENCY)	Copy 4 VENDOR (FINANCE)	Copy 5 VENDOR (AGENCY)	Copy 6 VENDOR (EMPLOYEE)	Copy 7 AGENCY (FINANCE)	Copy 8 AGENCY (OPTION-AL USE)	Copy 9 AGENCY	Copy 10 AGENCY (ORIGINA-TING OFFICE)
ARS	Held by training designee; upon completion of course, then placed in OPF.	Held by training designee for input into TRAI after completion of training.	Sent to Vendor by training designee for processing.	Forwarded to the servicing Location Administrative Office or Bud-get Office. (for HQ, forward to FMD, Fiscal Operations Branch, Op Section #1).	Sent to Vendor by training designee for processing.	Retained by employee for their records.	Processed by training designee (legible signature) to NFC.	Optional Use	Completed by employee and sent to training designee.	Held in Originating Office files.
CSREES	Held by EDS; upon completion of course, then placed in OPF.	Held by EDS for input into TRAI at completion of training.	Held by EDS for budget purposes.	Sent to Vendor by EDS for processing.	Sent to Vendor by EDS for processing.	Retained by employee for their records.	Processed by AFM, FMD, FOB.	Original Office	Completed and returned by employee to EDS.	Held in Originating Budget Office files.
ERS	Held by EDS; upon completion of course, then placed in OPF.	Held by EDS for input into TRAI at completion of training.	Held by EDS for budget purposes.	Sent to Vendor by EDS for processing.	Sent to Vendor by EDS for processing.	Retained by employee for their records.	Processed by EDS to NFC.	Original Office	Completed and returned by employee to EDS.	Held in Originating Budget Office files.
NASS	Held by EDS; upon completion of course, then placed in OPF.	Held by EDS for input into TRAI at completion of training.	Held by EDS for budget purposes.	Sent to Vendor by EDS for processing.	Sent to Vendor by EDS for processing.	Retained by employee for their records.	Processed by EDS to NFC.	Original Office	Completed and returned by employee to EDS.	Held in Originating Budget Office files.

8. Cancellations and Corrections

For ARS, contact your training designee. For NASS, ERS, and CSREES, contact the Employee Development Section 301-504-1436.

9. Records of Training Expenses

Form SF-182 is the method of approving and recording training. If another method of payment for training is used, such as a purchase order, contract, or credit card, the data must be entered into the TRAI database.

10. Summary of Responsibilities

REE Agency Heads

• Ensure that an employee and organizational development program is established for training agency employees.

• Delegate the implementation and development of policies, procedures, and evaluation of employee development programs to the Human Resources Division (HRD), AFM.

• Delegate training approval authority to the lowest possible level within their agencies.

• Encourage all agency entities to establish priorities for training employees and to provide funds to implement them.

Director, HRD, through Head, Employee Development Section

• Keeps managers informed of changes in OPM and Department training policies and of new initiatives in the employee development field.

• Oversees and coordinates the employee and organizational development program for all REE agencies.

• Assists and advises agency managers and supervisors on employee development concerns and needs.

- Formulates and recommends training and employee development policies, systems, and procedures that comply with statutory and regulatory requirements to REE administrative personnel, e.g., agency training designees, administrative officers, etc.

- Establishes, designs, and assures maintenance of needed systems to report, evaluate, and document employee development activities.

- Publicizes Government and non-government employee development opportunities and encourages employees and agencies to participate to the extent that these opportunities meet the needs of the agency.

- Develops, designs, and conducts internal training courses in a variety of areas for all employees to enhance knowledge, skills, and abilities.

- Provides counseling to employees regarding employee development concerns on a requested basis, e.g., career counseling, IDP counseling, etc.

- Provides assistance in identifying training needs.

Supervisors and Managers

- Assure fair and equitable treatment for employees in all matters related to employee training and development and that training facilities and curricula are accessible to employees with disabilities.

- Ensure that training and development activities for agency employees are reported and updated in the employee training data file (TRAI), in compliance with prescribed policies and procedures.

- Establish priorities for the training and development of employees and provide appropriate funding for these activities to be carried out.

- Provide orientation to job and work procedures for new employees and ongoing on-the-job training as needed for all employees.

- Counsel and collaborate with employees on an annual basis to develop an IDP based on organizational and individual needs.

- Encourage employees to seek self-development opportunities that will result in improved individual and organizational performance.

Employees

- Assess the impact of changes in their units' assignments, goals, and missions on the training needs of their staffs.

- Assess own employee development needs which will sustain an optimum level of job performance.

- With supervisor, jointly review and identify training and development needs on an annual basis in order to prepare an IDP.

- Attend and complete agency-sponsored training and actively apply the knowledge, skills, and abilities acquired through such activity.

- Keep abreast of significant technological, scientific, economic, and social changes and advances related to assigned responsibilities.

- Comply with prescribed policies and procedures when requesting, completing, canceling, postponing, withdrawing, and evaluating agency-sponsored training and development activities.

- Fulfill continued service agreement obligations as appropriate.

- Based on personal or professional need, seek counseling on employee development concerns from the supervisor and/or the Employee Development Section, HRD.

/s/

W. G. HORNER
Deputy Administrator
Administrative and Financial Management

20a	Purpose Codes
	1. Mission or Program change - to provide the knowledge, skills, and abilities needed as a result of change in agency mission, policies, programs, or procedures.
	2. New technology - to provide the knowledge, skills, and abilities required to keep abreast of developments in the employee's occupational field or in a related field.
	3. New work assignment - to provide the knowledge, skills, and abilities needed as a result of assignment to new duties and responsibilities when such training is a part of a planned career development program.
	4. Improve present performance - to provide the knowledge, skills, and abilities needed to improve or maintain proficiency in the present job.
	5. Meet future staffing needs - to provide the knowledge, skills, and abilities needed to meet future staffing needs through a planned career development program in an occupational speciality, executive or managerial development program, a management internship, cooperative education program, training agreement; or programs to upgrade skills and abilities.
	6. Develop unavailable skills - to acquire the knowledge, skills, and abilities needed for fields of work that are unique to the Federal Government; or to meet existing Government staffing needs in occupations for which the labor market cannot produce a sufficient number of trained candidates.
	7. Trade or craft apprenticeship - to provide the classroom or group portion of formal training in an apprenticeship program that, together with guided work experience, permits the employee to acquire the knowledge, skills, and abilities needed to meet the requirements for full performance.
	8. Orientation - to provide orientation on the policies, purposes, missions, and functions of the employing agency or the Federal Government for new employees.
	9. Adult basic education - to provide the basic knowledge, skills, and abilities needed to permit the employee to function in a work environment.

20b	TYPE - Indicates the principal subject matter and emphasis of the training provided an employee. (This standard categorizes the subject matter of the training given, not the position of the person trained.)
	1. Executive and Management — Education or training in the concepts, principles, and theories of such subject matters as public policy formulation and implementation, management principles and practices, quantitative approaches to management, or management planning, organizing, and controlling.
	2. Supervisory — Education or training in supervisory principles and techniques in such subjects as personnel policies and practices (including equal employment opportunity, merit promotion, and labor relations); human behavior and motivation; communication processes in supervision; work planning, scheduling and review; a performance evaluation.
	3. Legal, Medical, Scientific, or Engineering — Education or training in the concepts, principles, theories or techniques of such disciplines as law; medicine; the physical, biological, natural, social or behavioral sciences; education, economics, mathematics and statistics; architecture; engineering; or foreign affairs.
	4. Administration and Analysis — Education or training in the concepts, principles and theories of such fields as public or business administration; personnel; training; equal opportunity; logistics; finance; systems analysis; policy, program or management analysis; or planning.
	5. Speciality and Technical — Training of a specialized or technical nature in methods and techniques of such fields as investigation, security police science, supply, procurement, transportation, air traffic control, computer programming, languages, or medical, legal, or scientific support work.
	6. Clerical — Training in clerical skills as typing, shorthand, computer operating, letter writing, filing, or telephone techniques.
	7. Trade or Craft — Training in the knowledge and skills needed in such fields as electrical or electric equipment installation, maintenance and repair, tool and die making, welding, or carpentry.
	8. Orientation — Training of a general nature to provide an understanding of the organization and missions of the Federal Government or the employing agency, or a broad overview and understanding of matters of public policy such as the policies relating to equal employment opportunity.
	9. Adult Basic Education — Education or training to provide basic knowledge, skills, & abilities in such subjects as remedial reading, grammar, arithmetic, lipreading, or braille.

Exhibit C

20c	Source: 1. Government-Agency 2. Government-Interagency 3. Non-government-Designed for Agency 4. Non-government-Off-shelf 5. State or local government
20d	Special Interest Codes: 00 Not Applicable 01 USDA SES Candidate Development Program 02 Agency Supervisory Development Program 03 USDA Upward Mobility Program 04 Agency Upward Mobility Program 05 Agency Management Development Program 06 Senior Executive Service (SES) Candidate Development 07 Management Development (Department) 08 Management Development (Agency) 09 FCS Mid-level 10 FCS Senior Threshold 11 PMI 12 COOP 13 President's Executive Exchange 14 LEGIS 15 COM SCI 16 Women's Career and Executive Development 17 PTO Law Program 18 Long term full-time 19 Long term part-time 20 EEO Training 21 Computer Training 22 Self Development 23 Congressional Fellowship 24 Foreign Language Training 25 Total Quality Management (TQM) 26 PIA Ethics Training 27 INFO Share Training 28 HIV/AIDS Training 29 NASS Survey Training