

SBA

SOP 34 10 3

Employee Development Program

Office of Human Resources

U.S. Small Business Administration



**SMALL BUSINESS ADMINISTRATION
STANDARD OPERATING PROCEDURE**

SUBJECT:

Employees Development Program

S.O.P.

REV

SECTION

34

NO.

10

3

INTRODUCTION

1. Purpose. To outline the policy and procedures for the SBA training program.
2. Personnel Concerned. All SBA Employees.
3. SOPs Canceled. SOP 34 10 2.
4. Originator. Office of Human Resources.

AUTHORIZED BY:

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EMPLOYEE DEVELOPMENT

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Chapter 1

General Information

1. What Is the Purpose of this SOP?

This standard operating procedure (SOP) describes the policies and procedures of the SBA training program, including reporting requirements and responsibilities of SBA managers, supervisors, and employees.

2. What Is the Basis of the SBA Employee Development Program?

Title 5 U.S.C., Chapter 41, also known as the Government Employees Training Act (GETA), is the legal basis for SBA's program. Amended in 1994, GETA establishes a flexible framework for the training and development of the Federal workforce. It allows the Agency to fund employee training to assist in achieving our mission and performance goals by improving employee and organizational performance. As implemented by 5 CFR 410, this statute grants the Administrator the authority to approve, for any mission-related purpose and using any appropriate training source, training which is full or part-time, on or off duty, day or evening, or any necessary combination thereof, to further the mission of the Agency. Also, the Inspector General Act of 1978, as amended, grants the Inspector General (IG) the authority to obligate funds necessary to accomplish the IG mission.

3. What Are the Authorities for Training and Development?

- a. Executive Order (E.O.) 11348 (1967) provides agency heads with additional direction on how the applicable law is to be used.
- b. 29 U.S.C. 210 (Fair Labor Standards Act (1938)) and implementing regulations in 5 CFR 551, describe the overtime requirements for non-exempt employees engaged in training or travel-related training, outside their normal tour of duty.
- c. E.O. 12871 (October 1, 1993), regarding Labor-Management Partnership, directed agency heads to provide systematic training of appropriate agency employees in consensual, non-adversarial methods of settling disagreements, such as alternate dispute resolution (ADR) techniques.

- d. Office of Personnel Management (OPM), General Services Administration (GSA), the Office of Management and Budget (OMB), and the Equal Employment Opportunity Commission regulations in 29 CFR 1610.102 (12), the Office of Government Ethics requirements in 5 CFR 2635 and 31 U.S.C. 1353, are sources of regulatory authority affecting specific aspects of Federal training programs. Such regulations should be consulted as appropriate.
- e. Comptroller General (CG) decisions provide guidance in certain financial areas pertaining to training, and should be researched on specific questions unaddressed by other controlling authorities.
- f. Applicable Presidential memoranda and directives are part of Agency policy and incorporated into the SBA training program (e.g. President Clinton's memoranda to agency heads on HIV/AIDS training and topics to be covered in career transition training for all displaced Federal employees).

4. What Is the Objective of the Employee Training Program?

The primary objective of the employee training program is to ensure that the SBA workforce has the knowledge and skill required to administer the Agency's programs at the highest level of proficiency. In addition, the program:

- a. Fosters employee self-development;
- b. Monitors effectiveness of self-development, and formal and on-the-job training;
- c. Establishes criteria for selecting employees for training; and
- d. Ensures that employees receive appropriate training without regard to factors unrelated to the need for the training.

5. Who Has Responsibility for the SBA's Training Program?

The SBA's Administrator is responsible for conducting an Agency training program, allocating sufficient funds, and evaluating its effectiveness (5 CFR 410.201, .203 and .302). The Administrator is responsible for ensuring that the training needs of the Agency are identified and training programs are established to meet those needs. Title 5 U.S.C., Section 4113 (Supp.1995) requires the Administrator, at least once every 3 years, to review the needs and requirements of the Agency for the training of employees.

6. What Is the Role of the Assistant Administrator for Human Resources (AA/HR)?

The Administrator has delegated to the AA/HR responsibility for managing the Agency training program including the authority to revise any part of this SOP. The AA/HR redelegates the following authorities.

a. Guidance, Innovation and Review Division:

- (1) Develops and maintains policy guidance on employee development issues;
- (2) Submits reports on SBA's training program to the OPM or other authorized requestor(s), as required; and
- (3) Decides, when an employee requests a waiver of repayment, whether to waive, in whole or in part, the recovery of training costs.

NOTE: *The Inspector General will decide whether to waive, in whole or in part, the recovery of training costs when an employee of the Office of Inspector General (OIG) requests a waiver of repayment.*

b. The Training, Benefits and Systems Division:

- (1) Plans, develops, and manages executive development in SBA;
- (2) Conducts annual assessment of SBA's training needs;
- (3) Develops centralized training programs to meet SBA's needs;
- (4) Manages centralized training funds;
- (5) Evaluates the effectiveness of the centralized training program;
- (6) Prepares required reports on the centralized training provided;
- (7) Approves centralized training requests on SBA Form 1912, "U.S. Small Business Administration Registration and Authorization for Training," (see appendix 3), and other requests on SF 182 "Request, Authorization, Agreement and Certification of Training," (see appendix 5), which exceed \$2,500 in direct training; and

- (8) Post audits training requests approved by program managers for technical sufficiency.
- c. The directors of servicing personnel offices:
- (1) Approve training requests (except for centralized training) in excess of \$2,500 which are consistent with law, regulation, and SBA policy;
 - (2) Determine which expenses are directly related to training (i.e. tuition, books, registration costs) and what constitutes necessary expenses indirectly related to training (i.e., exams, parking fees, etc.);
 - (3) Ensure that an employee who fails to successfully complete a course or provide timely cancellation notification, repays SBA for costs involved, other than salary;
 - (4) Obligate the Agency for appropriate training expenses;
 - (5) Serve as in-house consultant on training matters and announce local training courses (not covered by centralized training);
 - (6) Maintain records of training expenses (see 5 CFR 410.406);
 - (7) Prepare required reports on the training provided; and
 - (8) Approve acceptance of a contribution, award, or payment by an employee attending a non-Government training facility (5 CFR 410.502), and maintaining related records (5 CFR 410.503).

7. What Is the Role of a Management Board Member or District Director?

A management board member or district director:

- a. Recommends employees for SBA-sponsored centralized training;
- b. Approves and authorizes SF 182 for subordinates where the direct training costs do not exceed \$2,500, exclusive of salary, travel, and per diem and the cost is within budget;

- c. Obtains concurrence for requests exceeding \$2,500 in direct training costs before submitting the SF 182 to the approving official;
- d. Makes sure that employees who fail to complete courses or provide timely cancellation notification repay SBA for all costs involved, other than salary; and
- e. Sends a copy of the completed SF 182 to the appropriate servicing personnel office.

8. What Is the Role of the Inspector General?

The Inspector General (IG) is responsible for approving training requests for Office of Inspector General (OIG) employees. This authority may be redelegated in writing. The IG is also responsible for maintaining records of training expenses and preparing required reports for training provided.

9. What Is the Role of the Associate Administrator for Disaster Assistance (AA/DA)?

The AA/DA is responsible for approving training requests for Office of Disaster Assistance employees consistent with AA/DA's delegated authority. This authority may be redelegated in writing. The AA/DA is also responsible for maintaining records of training expenses and preparing required reports for training provided.

10. What Is the Responsibility of Supervisors and Managers?

Supervisors and managers are responsible for:

- a. Recommending their employees for appropriate training;
- b. Documenting training requested by subordinate employees:
 - (1) For courses under the centralized training program, approving the SBA 1912, (see appendix 3), and forwarding through appropriate channels to the Training, Benefits and Systems Division; and
 - (2) For non-centralized training programs, approving the SF 182, (see appendix 5) and forwarding it through channels to the servicing personnel office in a timely manner;
- c. Evaluating the effectiveness of training when the employee has completed the training and returns to the job.

11. As an Employee, What Are My Responsibilities?

You should take responsibility for your own career. With your supervisor, you should identify your training needs, request appropriate training, successfully complete assigned training, evaluate training upon completion, and apply, on-the-job, what you learned.

12. Is an Employee Financially Responsible for Failure to Complete a Training Course or Service Agreement?

Yes. Employees should expect to reimburse SBA for training costs (other than salary) should they fail to attend or successfully complete an approved and scheduled training course, or do not fulfill any applicable continued service agreement.

Chapter 2

Training

1. Can Employees Take Training that Is not Provided by SBA?

Yes, employees are responsible for their own career development. Employees may take any training that is related to the development of individual knowledges, skills, and abilities directly related to improved individual performance. See 5 CFR 410.308.

2. Who Pays for Training?

Individual training requests are funded by each office's individual budget allocation. Headquarters budget allocations for individual training requests are identified in "other services," except for travel which is in a separate category, while field office budget plans must identify training funds as a separate line item. Managers should include in their operating budget plans the amount they need for locally funded training. Actual funding will depend on need and resource availability.

3. What Are SBA's Guidelines for Approving or Nominating Individual Training Requests?

As managers, your approval or nomination of training requests may consider the answers to the following questions.

- a. Does the training directly further SBA's mission and programs for which your office is responsible?
- b. If travel is involved, is the value of the training significantly greater than locally provided training? Is the course content available locally through the Department of Agriculture Graduate School, a local community college, or another source?
- c. Can the travel costs for training be justified?
- d. Is the training limited to only one or a very few members of your workforce because of the high costs involved? Can another source, at a lower cost, be identified so that more individuals may benefit?

- e. Is the training something that one person may attend and share with other staff at a formal training session at the conclusion of the training? What is the value of the materials and handouts and may they be reproduced and distributed to other staff at an internal training session?
- f. Will the time away from the office benefit your function and SBA without affecting immediate work completion?
- g. Does the individual training request duplicate any of planned agency-wide training?

4. How Do I Nominate an Employee for a Locally Funded Training Program?

For all training provided by another Federal agency and for much of the training provided by non-government sources, complete an SF 182. In addition to its use as a nominating document, it also serves as the procurement document for costs within the small purchase limits established by the Office of Procurement and Grants Management (OPGM). (See appendix 5 for instructions on completing the SF 182.)

5. Who Is Responsible for Completing the SF 182?

Supervisors and managers are responsible for completing the SF 182. One of the most critical items is the justification. The justification must contain sufficient information to enable the authorizing official to make a determination as to whether the training is needed. (See appendix 6 for requirements on training justifications.) Also, the SF 182 is a multi-part document with copies distributed to many different sources. (See appendix 7 for information on SF 182 distribution.)

6. Where Can I Get an SF 182 and an SBA 1912?

Both forms (SF 182 and SBA 1912) are available electronically. Your administrative officer (AO) may have the forms on file or can order copies of SF 182 from the warehouse using the National Stock Number: NSN-7540-01-008-3901.

7. Who Reviews the Authorizations for Training Funded By My Office?

Your servicing personnel office reviews the authorization documents for training funded by your office. Your authorizing official (Management Board member or district director) must submit the appropriate form (SF 182 or SBA 1912) to your servicing personnel office.

8. Must Training Be Job-Related?

No. While training generally must be mission-related; it doesn't have to necessarily pertain to the employee's current position. It may be training to prepare an employee for a different position within the Agency, in a different Government agency, or even outside the Government, if the approving official determines it to be in the best interest of the Government. For example, in cases of downsizing, it is permissible to train employees for jobs in another agency, or in the private sector if you are subject to adverse impact. (See 5 CFR 410.308 and SOP 3300 on career transition.)

9. How Do I Procure Training?

You must use the SF 182 to procure training. This form may be used for individual training requests or for entire training programs when the following three conditions are met:

- a. The training cost of a single training event, program, or instructional service does not exceed the dollar limit of your delegation of authority;
- b. The cost is of a fixed nature, i.e., price per student or price per course, program, or service; and
- c. The program, course, or instructional service is off-the-shelf and no modification or development is needed to meet the organization's needs resulting in increased cost to the Agency.

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Chapter 3

Centralized Training

1. What Is the Centralized Training Program?

The centralized training program is a comprehensive employee development plan for meeting Agency mission requirements. The program covers specific training courses needed for conducting Agency business, e.g., courses in commercial credit analysis, liquidation, contract administration or cost and price analysis.

2. How Are Centralized Training Courses Determined Each Year?

The Office of Human Resources, Training, Benefits and Systems Division (TBSD), develops an annual survey to determine interest in core Agency training programs. These courses involve basic, intermediate, and advanced training in skills development necessary to effectively carryout the SBA's mission. The TBSD compiles survey results and proposes a centralized training plan. Senior SBA officials review the plan relative to budget and resource constraints. From this review, SBA allocates funds to specific training in keeping with the SBA's mission goals, objectives, and priorities.

3. How Are Centralized Training Funds Allocated?

To the extent feasible and as funds permit, Agency-wide training needs are centrally funded and sponsored. Covered expenses include tuition and travel.

4. How Are Centralized Training Programs Announced?

The Office of Human Resources announces centralized training programs through a training opportunity announcement (TOA) sent by e-mail to all SBA offices. The TOA contains all pertinent information related to the course, including the course title, date, location, time, prerequisites, and nomination procedures.

5. How Do I Nominate an Employee for Centrally Funded Training?

Supervisors complete an SBA 1912 for centralized training programs. (See appendix 3 for a sample SBA 1912 and appendix 4 for instructions for completing it.)

6. What Are the Procedures for Courses Involving an Examination?

Some centralized training courses, particularly those related to the finance area, require that participants pass an exam to receive credit for the class. In those circumstances, the manager and employee will receive a letter indicating the employee "Passed With Honors," "Passed," or "Failed." Should an employee fail a course, the employee will have the opportunity to take a retest within an appropriate time frame.

7. Are Certificates Awarded to Employees Who Pass a Required Course Exam?

The TBSD prepares training certificates for employees who successfully complete a centralized training course. Employees who wish to have a copy of their certificate filed in their official personnel folder can forward it to their servicing personnel office.

8. How Do I Get a New Course Designed for My Employees?

When an SBA centralized training program or existing training course requires new design and development, the TBSD training staff will work with you and the OPGM to secure an appropriate contract.

Chapter 4

Training for Individual Development

1. **Should My Employees Have an Individual Development Plan?**

The individual development plan (IDP) is an effective management tool that can aid you in identifying and addressing your employees' developmental needs and preparing an annual training plan. An IDP requires the periodic preparation of a schedule of developmental experiences, including both work-assignments and formal training, designed to strengthen an employee's knowledge, skill, and ability in the employee's job assignments. (See Appendix 8, "Suggested Format for Developing an Employee IDP.") Typically supervisors should conduct this type of planning during employee performance reviews.

2. **May Any Employee Have an IDP?**

Yes, any employee may request an IDP. An IDP should be designed to meet particular developmental objectives (immediate and long-range) needed to improve current performance and to prepare the individual for positions of greater responsibility. Although an IDP is not necessary for every employee, it is useful in helping to plan training for employees in your organization.

3. **Are There Any Employees Who Must Have an IDP?**

An IDP is required for employees involved in certain career development programs such as: Upward Mobility, Presidential Management Intern, District Director Candidate Development, and SES Candidate Development Programs.

4. **What Happens If I Am Unable to Provide All Elements of the Employee's IDP?**

An IDP documents a training plan, goals to strive for, and is not mandatory. An IDP does not guarantee that all listed items will occur, or that a promotion will necessarily follow. Training and developmental assignments are subject to funding availability and mission requirements.

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Chapter 5

Expenses Related to Training

1. Can Employees Receive Overtime for Attending a Training Class?

- a. The SBA may not use its funds to pay premium pay to an employee engaged in training except as provided in 5 CFR 410.402(b)(1997). The prohibition on overtime pay is not applicable to employees covered under the Fair Labor Standards Act (FLSA) 29 U.S.C. 201 *et seq.* The prohibition on payment of overtime pay, other than when treated as hours of work under FLSA, applies as well to the granting of compensatory time in lieu of overtime.
- b. Time spent in training outside regular working hours is treated as hours of work under the 5 CFR 410.402(d) for purposes of computing FLSA overtime when SBA requires the training:
 - (1) To bring performance up to fully successful; or
 - (2) To provide knowledge or skills to perform new duties and responsibilities in the employee's current position.
- c. Supervisors and managers must follow the Agency's procedures on approving overtime before employees attend the training. (See SOP 36 00, "Attendance and Leave.")

2. Should Employees Receive Overtime for the Travel to and from a Training Class?

The prohibition on payment of overtime pay does not apply to time spent in travel to and from the place of training. Eligibility for such overtime pay is determined by the general rule on overtime payment that time spent in a travel status is not hours of work unless the travel results from an event that SBA could not schedule or control administratively (29 USC 5542(b)(2)).

NOTE: *Travel is considered hours of work when it results from unforeseen circumstances such as an event that is scheduled by someone or some organization outside of Government. However, when the Government contracts with an outside institution to conduct a training course, then the event is under the administrative control of the Government. In Comp. Gen B-190494 (May 8, 1978), an employee was denied overtime pay for Sunday travel to attend such a training event.*

3. Can SBA Pay Training Expenses for an Employee to Earn an Academic Degree?

The SBA cannot pay tuition for the sole purpose of earning a degree. However, the SBA can pay for tuition costs for individual courses so long as they are related to the SBA's mission.

4. When May SBA Pay Tuition for a College Course?

The SBA may authorize advance payment of expenses such as tuition, subsistence, transportation, and other essentials pertaining to the course. However, if the employee does not successfully complete the course, the employee must reimburse SBA for all costs associated with the course.

5. Can SBA Pay for Employees to Take Examinations for Licenses and Certificates?

The cost of training to prepare an employee for an examination such as for licensing or certification is payable only when the training is relevant to SBA's mission. The costs of the examination and allied costs, such as travel, and per diem costs incurred while taking the examination which is not part of a regular course of instruction are not payable (*See 55 Comp. Gen. 759 (1976)*) unless:

- (1) The examination serves as a diagnostic tool to determine deficiencies in knowledge and skills needed by an employee in the performance of official duties; or
- (2) The cost of the examination is part of the cost of a program of training.

6. When Will SBA Pay for a Member of My Legal Staff to Take a Bar Review Course?

The SBA may pay for a member of your legal staff to take a bar review course when it is determined that the review course is relevant to the performance of official duties. (For example, SBA may pay the cost of the bar review course for an employee who has already qualified as a Federal attorney, but needed the course to prepare for admission to the bar of another State to perform official duties.) However, tuition for a bar review course (or law school tuition) is a personal expense when it helps a person

qualify for a legal position. Like a bar admission fee, it is not payable from appropriated funds.

7. Can SBA Pay for an Employee's Attendance at Meetings and Conferences?

Yes, as long as the content is pertinent to the functions or activities of the Agency and it is evident that benefits will be derived by the employee's attendance. You may use an SF 182 to authorize payment from your office budget for meetings and conferences in accordance with SOP 20 11, "Travel." If your office resources don't allow you to send as many employees as would like to attend (e.g. BIG, LULAC, NOW), you should establish a fair and equitable process for selecting participants.

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Chapter 6

Selecting Employees for Training

1. How Do I Select Employees for Training?

- a. You must assign employees to training without regard to race, color, religion, sex, national origin, disability, or other factor unrelated to the need for training.
- b. You should evaluate your employees in order to determine their training and developmental needs and discuss the availability as well as the appropriateness of training opportunities.
- c. Before approving a training assignment you should consider workload requirements, equity of training opportunities among staff members, geographic location and cost of training, as well as any other alternatives for achieving the same developmental objective.
- d. Use competitive selection procedures when selecting employees for training that is:
 - (1) Part of an authorized training agreement leading to non competitive promotion;
 - (2) Part of a promotion program, although the promotion may not immediately follow the training (e.g., Upward Mobility, SES Candidate Development Program); or
 - (3) Required before an employee may be considered for promotion.

2. Can I Send an Employee to Training Regardless of Geographic Location?

Managers should strongly consider cost factors when nominating or assigning employees to training. The most cost-effective method of assigning people to training is to consider training that is close to the home office and will not require excessive travel and per diem costs.

3. When Must an Employee Sign a Continued Service Agreement?

When the employee receives pay during the period of training and before being assigned to training for more than 80 hours consecutive hours per year, the employee must agree in writing to continue in Federal service for a period three times the length of the training period. This is done by the employee's signing the appropriate block on the back of copy 1 of the SF 182.

a. What if the employee did not sign the agreement?

If the employee did not sign the agreement but should have, the employee is still obligated to continue in service the required length of time.

b. What if the employee has a good reason for not honoring a continued service agreement?

The AA/HR may waive repayment, in whole or in part, for good cause.

NOTE: The Inspector General will decide whether to waive, in whole or in part, the recovery of pay when an employee of the Office of Inspector General (OIG) requests a waiver of repayment.

c. What happens if the employee separates from SBA before completing the required service?

If an employee voluntarily separates from the Agency before completing the period of required service, the employee may be required to pay back a fair share to the Government. If the employee will not agree to repay, the appropriate amount of funds will be recovered from pay or other accounts due the employee from the Government, or through other suitable methods provided by law for recovery of funds due the Government.

Appendix 1

Index to Forms and Reports

FORM

Paragraph

SBA Form 1912, Request and Authorization of Training Registration Form 1-6b.7

SF 182, Request, Authorization, Agreement and Certification of Training 1-6b.7

Report

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Appendix 2

Definitions

Conference or Meeting - A formal gathering where the primary intent is to discuss work information, negotiate solutions to work problems, and/or make decisions. Participants typically have the same relative level of knowledge of the subject. There may be an agenda and discussion is the primary method of communication. The conference leader's role is to facilitate discussion rather than instruct or teach a skill.

Individual Development Plan (IDP) - The training needs and career objectives and recommended learning experiences (job assignments and formal training) agreed to and planned for an employee as a result of discussions with the employee's supervisor.

Interagency Training - Training provided by one agency for other agencies or shared by two or more agencies.

Non-Government Training - Training provided in or through facilities or organizations that are not part of the Federal Government or by persons who are not Federal employees. This includes training by private firms, State and local governments, public and private schools, private contractors and consultants, and professional organizations.

Official Duties - Duties which the employee is responsible for as outlined in his/her position description or duties the employee can reasonably be expected to perform in the future as a result of natural job growth.

On-The-Job-Training (OJT) - Organized activities and/or instruction presented to an employee at his/her work station. Such activities might be formal or informal as long as the focus is on increasing skills of the employee.

Training Program - A program designed to increase the knowledge, proficiency, ability, skill and qualifications of the employee in the performance of official duties. The first priority of training is to assist employees in improving proficiency in their present positions and secondly to assist employees in acquiring skills that will enable them to perform efficiently in carrying out future tasks within the agency. Such training can include formal courses of instruction and on the job instruction.

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Appendix 3

(Paragraph 1-6b.7)



U.S. SMALL BUSINESS ADMINISTRATION REGISTRATION AND AUTHORIZATION FOR TRAINING

PLEASE FILL OUT THE FOLLOWING INFORMATION AND RETURN IT TO THE HUMAN RESOURCES SYSTEMS AND SPECIAL PROJECTS DIVISION, OR YOUR SERVICING PERSONNEL OFFICE

1. EMPLOYEE NAME (*Last, First, MI*) POSITION TITLE SERIES/GRADE

2. SOCIAL SECURITY NUMBER

3. PHONE NUMBER/MAIL CODE

4. OFFICE/LOCATION

5. NOMINATED TRAINING COURSE

6. TRAINING COURSE DATE(S)

7. IMMEDIATE SUPERVISOR
(*Name, Title and Signature*)

8. PHONE NUMBER

9. DATE

10. Servicing Personnelist
(*Name and Signature*)

11. PHONE NUMBER

12. DATE

13. COMMENTS

SBA FORM 1912 (12-95)

Appendix 4

(paragraph 3-5)

Instructions for Completing SBA 1912

1. **EMPLOYEE NAME, POSITION TITLE, SERIES AND GRADE
(last, first, MI)**
ex: ALEXANDER, DIANE, M. LOAN SPECIALIST, 1102, GS-12
2. **SOCIAL SECURITY NUMBER**
ex: 000-123-4567
3. **PHONE NUMBER/MAIL CODE**
(indicate office phone number and office mail code)
ex: (804) 771-2400 0304
4. **OFFICE/LOCATION**
ex: Minority Enterprise Development, Richmond District Office
5. **NOMINATED TRAINING COURSE**
(indicate name of training course - complete one course per form)
ex: BASIC COMMERCIAL CREDIT ANALYSIS - LEVEL I
6. **TRAINING COURSE DATE(S)**
(show the start date and completion date of the course)
ex: March 3 - 7, 1997
7. **IMMEDIATE SUPERVISOR**
(the immediate supervisor should sign here)
8. **PHONE NUMBER**
(show immediate supervisors office phone number)
ex: (804) 771-1235
9. **DATE**
(show date the immediate supervisor signed the SBA Form 1912)
ex: 2/25/97
10. **TRAINING OFFICER**
(the training or administrative officer should sign here)

11. **PHONE NUMBER**
(show the phone number of the training or administrative officer)
ex: (804) 771-1245
12. **DATE**
(show date the training or administrative officer signed the SBA Form 1912)
ex: 2/26/97
13. **COMMENTS**
(indicate comments or additional information that may be requested in the training opportunity announcement, e.g. course prerequisites)
ex: The employee has successfully completed Accounting I prerequisite course.

Appendix 5

(paragraph 2-4)

Instructions for Completing an SF 182

You may order SF-182 from the CFPDC warehouse using National Stock Number: NSN-7549-01-008-3901 or print from the electronic system.

Spaces B and C Are For Servicing Personnel Offices Use - Leave Blank

1. **Name** - preferred title and FIRST 5 letters of last name (Hampton, Art, Ms.) **HAMPT**
2. **Social Security Nnumber** - **000-00-0000**
3. **Date of Birth** - optional
4. **Home Address** - (indicate apartment number if appropriate)
5. **Home Telephone Number** - include **area code**
6. **Position Level** - if you are both a supervisor and a manager, mark manager
7. **Organization Mailing Address** - include your office and division
8. **Office Number and Area Code** - (000) 123-4567
9. **Continuous Civilian Service** - show the total number of years and months served since your last entry into the Federal service as a civilian.
10. **Number of Prior Non-Government Training Days** - show only the total days of Government supported training completed in non-government programs of more than 40 hours
11. **Position Title** - Example: Personnel Management Specialist
12. **Pay Plan, Series, Grade, and Step** - Example: GS-201-11/2
13. **Type of Appointment** - Show Career, Career Conditional, Temporary, or other appointment as appropriate
14. **Education Level** - Highest grade completed
Example: High School, enter 12; if 4-year of college, enter 16

Section B - TRAINING COURSE DATA

- 15a. **Name and Address** of training institute
- 15b. **Location** of training site (if same, mark X)
16. **Course Title and Training Objectives** - Example: "Understanding and Managing Human Behavior." It provides an opportunity to acquaint participants with (1) A new non-technical language to meet human relations needs; (2) Role awareness in achievement; and (3) Planning for Personal change. (If additional space is needed, use plain bond paper.)
17. **Catalog/Course No.** - Fill in if one is provided
18. **Training Period** - Enter the start date and completion date. Example: May 7, 1995, is typed 95-05-07.
19. **Number of Course Hours** - Show 4 digits. Example: A course of 5 days in length would be a total of 40 hours and would be entered as 0040.

For part-time training, insert the actual number of classroom hours as determined by the training facility. The following method of conversion may be used for college academic courses:

1 credit hour (semester) = 12 classroom hours

1 credit hour (quarter) = 8 classroom hours

20. **Training Codes** - See back of SF 182

Agency Use Only - Use this space to show justification. If additional space is needed use plain bond paper.

Section C - Estimated Costs and Billing Information

21. **Direct Costs and Appropriation/Fund Chargeable** - Tuition, books, and other fees are entered. Show in 21d, the total cost in four digits. Example: \$0165.00 Also include the Appropriation Code - (Example: 2213.97.22130.2520)

Appendix 5 (continued)

22. **Indirect Costs and Appropriation/Fund Chargeable** - No dollar amount needed. Refer to SBA Form 21. (Leave Blank)
23. **Document/Purchase Order/Requisition Number.** Enter document/requisition number. Vendors refer to this number for payment. This will ensure prompt payment.
24. **8-digit Station Symbol** - Show the eight (8) digit station symbol. This number is always **73-00-0001**.
25. * **Billing Instruction-** Show your offices address as the “Billing Office:”

NOTE: Upon receipt of the vendors invoice the Authorizing Official should review and approve the invoice (sign and date) before sending it to:

Small Business Administration
Denver Finance Center
P.O. Box 748
Denver, CO 80201

*

Section D - APPROVALS

26. **Immediate Supervisor** - Show the name, title, and telephone number of the immediate supervisor.
- 26b. The immediate supervisor should sign and date here.
- 27a. **Second-line Supervisor** - Show the name, title, and telephone number of your office director.
- 27b. The office director should sign and date here.
- 28a. **Training Coordinator** - Show the name, title, and telephone number of training coordinator.
- 28b. Training coordinator should sign and date here.

Section E - APPROVAL/CONCURRENCE

- 29a. **Authorizing Official** - Show name, title, and telephone number of the authorizing official.
- 29b. The authorizing official should sign and date here.

Section G - EMPLOYEE'S AGREEMENT TO CONTINUE IN SERVICE (on back of Copy 1)

Employee's signature and date if non-Government training is in excess of 80 hours.

Section C - TERMINATION AND EVALUATION DATA (on bottom of copy 9)

This section is to be completed by employee after training has been completed.

31. Check yes or no; if no, return this form with a memo to the Human Resources Operations Division explaining the circumstances.
32. Show actual course dates.
33. Show the actual number of hours.
34. Show your academic grade if appropriate, or attach a copy of your training certificate.
35. Show if all sessions were attended. If no, explain why not.
36. **AREAS OF EVALUATION** - Place an "x" in the appropriate column to indicate your evaluation of the course. Do not split a rating or put an "X" in more than one box.
- 38-43. Evaluation of training course

Section D - SUPERVISORY COMMENTS (COPY # 9 OF THE SF 182)

- 44-48. This section should be completed by the supervisor of the employee and submitted to the Human Resources Operations Division.

Appendix 6
(paragraph 2-5)

Suggested Format for Justifying Training Need

1. WHY IS THE COURSE IS NEEDED?
2. STATE THE OBJECTIVE OF THE COURSE:
(What the employee expects to gain from attending the course)
3. JUSTIFY THE NEED FOR THIS TRAINING:
(How will the Agency's mission be achieved by attending this course?)
4. CAN THE COURSE BE OBTAINED THROUGH A LESS EXPENSIVE VENDOR?

Purposely Left Blank

Appendix 7

(paragraph 2-7)

Distribution of Training Forms (SF 182)

In order to fully document training activities, the following distribution will be made of the SF 182 following final approval.

Copy 1 Filed in employee's official personnel folder.

Copy 2 Used by the servicing personnel office.

Copy 3 Provided to the vendor as a file copy.
(If a registration form is provided, please send with vendor copies)

Copy 4 Provided to the vendor as Agency's obligation to pay approved costs.

Copy 5 Provided to the vendor for completion of Section H and returned to SBA.

Copy 6 Provided to the vendor for completion of Sections H and returned to the nominee.

Copy 7 Used as a certifying document. After completing training the employee forwards a copy to the Denver, Fiscal Operations, for final processing of payment.

Copy 8 Extra copy.

Copy 9 Training course evaluation - the training participant completes the evaluations and forwards it to the trainee's immediate supervisor. The supervisor forwards the copy to the Human Resources Operations Division or servicing personnel office, as appropriate, after completion of the approved training. However, in instances where training is not completed, the form is to be returned along with any waiver request, at the time the employee ceases to attend the training. In such instances, the supervisor is to indicate on the form why the employee did not complete the training.

Copy 10 Originating Office Copy - to be kept in the supervisor's office files.

Purposely Left Blank

Appendix 8

(paragraph 4-1)

Suggested Format for Developing an Employee IDP

1. What Are the Basic Steps in the IDP Process?

These steps should be completed by the employee with supervisory involvement:

- a. Conduct self-assessment.
 - (1) Assess your skills, strengths, and developmental areas;
 - (2) Examine your interests and values;
 - (3) Establish your goals and priorities;
 - (4) Examine management priorities; and
 - (5) Rank-order developmental areas.
- b. Survey opportunities.
 - (1) Identify job options and developmental opportunities;
 - (2) Consider constraints: time, cost and personal responsibilities; and
 - (3) Adjust ranking of developmental areas.
- c. Write the IDP.
 - (1) Establish effective dates;
 - (2) Identify specific developmental objectives;
 - (3) Define developmental activities and time frames; and
 - (4) Discuss the completed IDP with your supervisor.
- d. Implement your plan.
 - (1) Put your plan into action;
 - (2) Revise and modify plan as necessary; and
 - (3) Begin again (if necessary).

2. What Is Usually Included in an IDP?

Typically an annual plan, an IDP incorporates any combination of classroom training, on-the-job-training, and developmental assignments that are deemed appropriate to enhance

the employees present skills, and to prepare the employee to pursue a position of greater responsibility. Of course, any preparation for future position should be consistent with the employee's interests and the Agency's needs. Supervisors can also encourage employees to take correspondence courses and evening classes on their own time and at their own expense to demonstrate initiative. Other options include technology-based training, satellite training, coaching, mentoring, developmental details, rotational assignments, cross-training assignments, and attendance at professional meetings, seminars, and conferences. Both the supervisor and the employee should discuss and sign the IDP. The supervisor should retain the original in the employee's performance file (EPF). Your servicing personnel management specialist is available as a resource when developing an IDP.



**SMALL BUSINESS ADMINISTRATION
STANDARD OPERATING PROCEDURE**

National

SUBJECT: Employee Development Program	S.O.P.		REV
	SECTION 34	NO. 10	3A

INTRODUCTION

1. Purpose. In order to pay invoices faster, directions for completing the billing remittance address, block 25 on SF 182, is changed to send the invoice to the originating office. After approving payment of the invoice, the authorizing official must send the invoice to the Denver Finance Center for payment.
2. Personnel Concerned. All SBA employees.
3. Page Changes.

<u>Remove</u>	<u>Insert</u>
37-38	37-38
4. Originator. Guidance, Innovation, and Review Division, Office of Human Resources.

AUTHORIZED BY:		EFFECTIVE DATE 7/17/98
Carolyn J. Smith Assistant Administrator for Human Resources		PAGE 1

SBA Form 989 (5-90) Ref: SOP 00 23

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