

TRAINING

1. What is training?

Training is the planned process of providing employees with a variety of instructional or educational activities. Employees may be trained in any field that will:

- Help achieve the Department's mission and performance goals by improving organizational performance.
- Improve individual and organizational performance through such activities as:

formal training (college courses, forums, seminars, workshops);

self-study (self-paced learning, independent reading);

technology-based options (computer based training, satellite instruction);

workplace programs (task forces, mentoring, long-term development, on-the-job training, details, rotational assignments);

retreats;

conferences (but only when the content contributes to the improvement of individual or organizational performance).

**DEPARTMENT OF THE INTERIOR
HUMAN RESOURCES MANAGEMENT HANDBOOK**

2. Why train employees?

Training may be used if it will:

- Support DOI's general mission as the Nation's principal conservation agency;
- Improve an employee's current job performance or expand current or future job responsibility;
- Enable an employee to perform potentially needed duties outside the current job at the same level of responsibility;
- Meet Departmental needs in response to evolving human resource plans;
- Serve the public interest.

3. Who may be trained?

With few exceptions, any employee you supervise may receive Government-funded training. Several factors will determine who will be trained:

- an employee's need for training to resolve performance problems or prepare for a new assignment requiring different skills,
- the extent to which the employee's knowledge and skill will be improved,
- the organization's need for new skills and the length of time you will benefit from the employee's training,
- the employee's previous training, and
- the funds available to train all employees.

August 1995

**DEPARTMENT OF THE INTERIOR
HUMAN RESOURCES MANAGEMENT HANDBOOK**

As a supervisor, you must be impartial in selecting employees for training. Base your training decisions on sound management practices without regard to factors such as race, color, religion, sex, national origin, disability, age, and sexual orientation. You should also ensure that training facilities and curricula are accessible to employees with disabilities.

4. May I send an employee to any training?

Although you have considerable latitude, there are some restrictions:

- training to prepare an employee for a promotion, or if required before an employee can be considered for a promotion, may be provided only after your bureau's merit promotion procedures have been followed. This will ensure that eligible employees have an opportunity, not just for the training, but for the subsequent promotion.
- usually training is prohibited when the sole purpose is to obtain a college degree. (Exceptions may be made to aid in recruitment and retention of employees in shortage occupations.) You may authorize college courses that satisfy identified training needs that ultimately may result in an academic degree as an incidental byproduct.

5. Where can I find out what training is available?

Your servicing personnel office will help you in answering these questions and deciding your next step. Someone will act as your human resource consultant and help you find appropriate courses.

Before you ask about available training, however, you should have a clear idea of what you want to accomplish. Time and effort can be saved through good planning. You should decide if the requirement can be met by means other than formal classroom training. Ask yourself if the need can be met through on-the-job training. Are there programs offered by other bureaus in the Department, or within other agencies of the Federal Government, that can be used at little or no cost?

**DEPARTMENT OF THE INTERIOR
HUMAN RESOURCES MANAGEMENT HANDBOOK**

6. **When I put an employee through long-term training, how can I be sure the Government will get the benefit of that education?**

You may require service after the training is completed through a *Continued Service Agreement*. An employee selected for training for more than a minimum period (e.g., 80 hours) must agree in writing with the Government, before the beginning of the training, to continue in service for an appropriate period of time. The length of this service is determined by your bureau.

The continued service agreement applies to service in the Federal Government. Consequently, an employee under an agreement can move to another Federal agency without penalty. If the employee voluntarily leaves the Federal Government before the end of the agreement, you (or the current agency) have the right to require reimbursement for the training costs, except for salary. The employee may appeal for a waiver of the reimbursement; each bureau will determine the appropriate appeal level.

7. **Who is responsible for training?**

An agency and its employees have joint responsibility for training. Training is a vital part of an organization's strategic plan. As such, bureau and office heads must insure that:

- funds are committed to meet organizational and employee developmental needs;
- purposes and priorities for agency training are expressed and evaluated;
- delegation of training approval is at the lowest possible level;
- training programs and requirements are reviewed annually;
- a formal needs assessment is conducted at least every 3 years.

**DEPARTMENT OF THE INTERIOR
HUMAN RESOURCES MANAGEMENT HANDBOOK**

Supervisors or team leaders must maintain a record of payments made for travel, tuition and fees, and other training expenses. These will be used for needs assessment and other purposes.

Employees, however, are responsible for their self-development, completing training, and fulfilling continued service agreements. If an employee fails to complete training paid for by DOI, barring illness or legitimate excuse, the employee must reimburse the Department for the cost of the training.

8. What tools are available to plan training?

In January 1994, the Office of Personnel Management issued the *Training Needs Assessment Handbook: A Guide for Conducting a Multi-level Needs Assessment*. This comprehensive resource is available from your Human Resources Consultant. It outlines a step-by-step process for training needs assessments at the organizational, occupational, and individual levels. As a supervisor, you need to plan on two levels: organizational/ occupational and individual.

- **Step One - Obtain Needs Assessment Data** (questionnaires/ surveys, advisory/ focus groups, interviews, etc.)
- **Step Two - Analyze Data** (discrepancy or gap between desired knowledge, skills, and those currently possessed)
- **Step Three - Define Performance Problems/Issues** (management techniques, tool or equipment problems, changing technology, etc.)
- **Step Four - Research Performance Solutions** (ask what other agencies have done; determine costs of training and non-training solutions; involve all affected employees)
- **Step Five - Determine Best Approach(es)**
- **Step Six - Cost/Benefit Analysis or Business Case for Selected Approach** (a business case projects what financial benefit will result from the investment of training dollars)

**DEPARTMENT OF THE INTERIOR
HUMAN RESOURCES MANAGEMENT HANDBOOK**

The *Individual Development Plan (IDP)* is a helpful tool for assessing individual training. When used, the IDP is cooperatively developed between a supervisor and an employee, often annually, to forecast and schedule individual training needs in organizational and technological change. See Attachment 1 for a sample format.

9. How do I authorize and pay for training?

As a supervisor, you may use a Standard Form 182, *Request, Authorization, Agreement and Certification of Training*. Eventually, an automated training system will negate the use of a Standard Form 182.

10. What are Appropriate Training Expenses?

Each bureau and office may pay or reimburse an employee, fully or partially, for the expenses of approved training. Among the costs you may consider paying are the following: tuition and matriculation costs; fees and services (e.g., lab fees, books, supplies and memberships if required for enrollment); travel and per diem.

11. How are necessary training expenses determined?

Supervisors, following bureau or office procedures, may decide which expenses are necessary training expenses. Training expenses do not include an employee's salary, pay, or compensation. Premium pay may be included in certain situations; ask your Human Resources Consultant for details.

12. What funds are available for training?

- Federal or public sector agencies. You may use appropriated funds from your bureau or office. Payment of training for DOI employees by other Federal or public sector agencies is also permissible.

August 1995

**DEPARTMENT OF THE INTERIOR
HUMAN RESOURCES MANAGEMENT HANDBOOK**

- **Non-profit entities.** Payment of training for DOI employees by non-profit entities is permitted if there is no direct or indirect monetary benefit derived by the non-profit entity. Check with your ethics official to determine if there is any potential legal or conflict of interest issues.
- **Private sector entities.** In general, payment of training for DOI employees by private sector entities is discouraged. However, there may be unusual circumstances where the employee and DOI may benefit from such training. Clearly, such training must not result in any direct, indirect, or monetary benefit to the private sector entity. Again, check with your ethics official to determine if there are any potential legal or conflict of interest issues that may arise.

13. May subsistence payments be made for extended training?

Yes, if your training lasts over 30 days. DOI has the authority to pay all or (if agreed to by the employee) part of actual subsistence expenses for an assignment to training at a temporary duty station.

14. Where can I find the legal guidance for conducting training?

You will find a summary of the legal foundations of training in *The Training Policy Handbook: Authorities and Guidelines*, published by the Office of Personnel Management, Human Resources Development Group, December 1994. Copies are available through your bureau or office Human Resources Consultant.

**DEPARTMENT OF THE INTERIOR
HUMAN RESOURCES MANAGEMENT HANDBOOK**

EXECUTIVE, MANAGER AND SUPERVISOR (EMS) DEVELOPMENT

1. What is the Department's EMS policy?

Managers at all levels (executive, management and supervisory) will participate in and actively support management development activities. EMS development is a planned process in which employees will receive the continuing support of the Secretariat and heads of bureaus and offices.

2. Why give special attention to the development of executives, managers, and supervisors?

Executives, managers, and supervisors play essential leadership roles in directing the programs of the Department and in managing its resources to achieve the Department's objectives. In assuming these roles, managers enter a second profession, demanding a new set of skills. These skills, which can be learned, are the focus of EMS development.

3. How do you determine developmental needs for you and your employees?

The *Leadership Effectiveness Framework* (LEF) is a model of the competencies commonly needed at executive, management and supervisory levels within Federal agencies. Departmental EMS Development will be planned and developed in terms of the competencies described in the LEF. The LEF is described in Attachment 2.

4. What Departmentwide Programs are available for Executives?

The Department of the Interior Probationary Executive Program (PEP):

- mandatory for all newly appointed career SES members (not required for graduates of an SES Candidate Development Program).

August 1995

**DEPARTMENT OF THE INTERIOR
HUMAN RESOURCES MANAGEMENT HANDBOOK**

- Individual Development Plan (IDP) must be developed by appointee and supervisor in first 30 days of appointment. Appointees must participate in:

OPM's 16-hour Interagency Orientation for newly appointed SES members;

OPM's 80-hour Executive Development Seminar (or equivalent, such as the Federal Executive Institute);

a minimum of four 8-hour SES Forums (or equivalent offerings);

an additional 32 hours of training, selected from subjects meeting the objectives of the IDP.

The Senior Executive Service Candidate Development Program (SESCDP):

This program is offered only when needed, as determined by a Departmental Executive succession analysis. It may be 6 to 18 months in length, providing competitively selected GS-14 and 15 Candidates with developmental activities designed to prepare them for executive leadership responsibilities. Successful completion of the program will result in eligibility for non-competitive placement in SES positions. More specific details will be provided with each program announcement.

5. What development activities are required for managers and supervisors?

- **Probationary managers and supervisors** - employees appointed to managerial positions who are subject to a 12-month probationary period must meet the following minimum requirements during the period:

development of Individual Development Plans related to the Leadership Effectiveness Framework found in Attachment 2;

**DEPARTMENT OF THE INTERIOR
HUMAN RESOURCES MANAGEMENT HANDBOOK**

completion of a minimum of 40 hours of appropriate formal training;

counseling sessions at least once every 3 months, with his or her supervisor, to review developmental progress.

- Nonprobationary managers and supervisors will have their developmental needs reviewed annually. The results of these reviews will provide the basis for planning individual, bureau and Departmentwide management development programs.

6. What are the Departmentwide requirements for manager and supervisor development?

- The head of each bureau and his office is required to establish manager and supervisor development programs that will stress the following ideas:

Management is a profession, with distinct competency requirements and responsibilities;

Developmental needs are addressed in terms of the common competency base described in Attachment 2;

Bureau and office programs will be either open systems, offering developmental opportunities to all managers, or selective programs for competitively selected employees.

- A bureau policy statement of top management commitment to managers and supervisors must clearly express to the bureau's executives and managers their responsibilities for manager development, including:

Personal involvement in the development of their subordinate managers;

Establishing a work environment supportive of good management practice.

**DEPARTMENT OF THE INTERIOR
HUMAN RESOURCES MANAGEMENT HANDBOOK**

- A bureau manager and supervisor plan must be written which provides for:

Detecting the characteristics of the bureau's management population in terms of numbers, distribution, turnover, and identified developmental needs;

Establishing objectives and procedures;

Allocating sufficient resources, including funds, staff support, and managerial participation, to reach objectives identified through an annual review of training needs.

7. Where can I find legal guidance for conducting EMS development?

You will find a summary of the legal foundations of training in *The Training Policy Handbook: Authorities and Guidelines*, published by the Office of Personnel Management, Human Resources Development Group, December 1994. Copies are available through your bureau or office Human Resources Consultant.

**DEPARTMENT OF THE INTERIOR
HUMAN RESOURCES MANAGEMENT HANDBOOK**

ATTACHMENT 1

**Suggested Format for an
INDIVIDUAL DEVELOPMENT PLAN**

Dates of Coverage: From _____ To _____

Name of Employee:		
Social Security Number:	Position Title; Series/ Grade:	Organization/Location:
1. Performance Need(s) (Identify Competency To Be Addressed*)	2. Training Activity To Satisfy Need (e.g. OJT; Course; Detail)	3. Estimated Costs
Signature of Employee:		Date:
Signature of First-Level Supervisor:		Date:
Signature of Second-Level Supervisor:		Date:

*** Performance Needs may be identified using two primary sources: the employee's Position Description, and the Leadership Effectiveness Framework (Attachment 2), a description of the 22 competencies commonly associated with successful performance of leaders.**

August 1995

**DEPARTMENT OF THE INTERIOR
HUMAN RESOURCES MANAGEMENT HANDBOOK**

ATTACHMENT 2

THE LEADERSHIP EFFECTIVENESS FRAMEWORK (LEF)

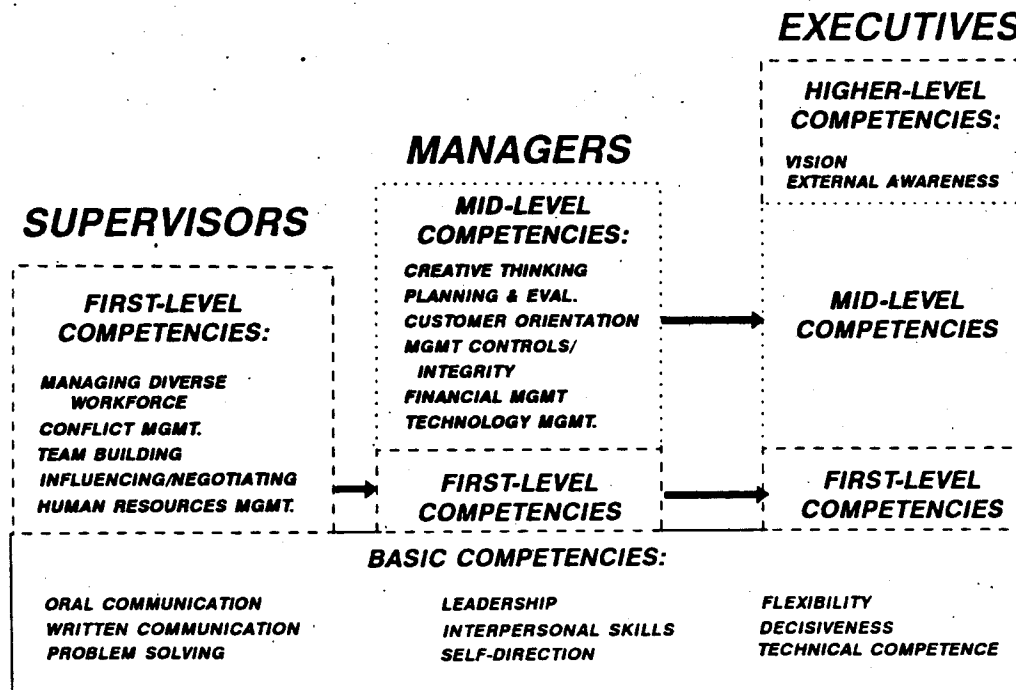
What is the LEF Competency Model?

The Leadership Effectiveness Framework (LEF) is a Federal competency-based model for effective leadership. The LEF (shown below) identifies 22 competencies integral to successful performance of leaders.

Who should use the LEF and why?

Bureaus, offices and their components should use the model to identify critical competencies and link them to the organization's mission and objectives. The LEF will also provide a consistent framework and context for leadership and organizational assessment and development.

Individuals should use the model to plan their own leadership development. It will also help them focus on the competencies and degree of proficiency needed at each level of management.



August 1995

**DEPARTMENT OF THE INTERIOR
HUMAN RESOURCES MANAGEMENT HANDBOOK**

ATTACHMENT 2 (CONTINUED)

List of 22 Competencies

**LEADERSHIP EFFECTIVENESS FRAMEWORK
COMPETENCY DEFINITIONS**

LEF COMPETENCY	DEFINITION
<i>Conflict Management</i>	Anticipates and seeks to resolve confrontations, disagreements, and complaints in a constructive manner.
<i>Creative Thinking</i>	Develops insights and solutions; fosters innovation among others.
<i>Customer Orientation</i>	Actively seeks customer input; ensures customer needs are met; continuously seeks to improve the quality of services, products, and processes.
<i>Decisiveness</i>	Takes action and risks when needed; makes difficult decisions when necessary.
<i>External Awareness</i>	Stays informed on laws, policies, politics, Administration priorities, trends, special interests, and other issues; considers external impact of statements or actions; uses information in decision-making.
<i>Financial Management</i>	Prepares and justifies budget; monitors expenses; manages procurement and contracting.
<i>Flexibility</i>	Adapts to change in the work environment; effectively copes with stress.

August 1995

**DEPARTMENT OF THE INTERIOR
HUMAN RESOURCES MANAGEMENT HANDBOOK**

<i>LEF COMPETENCY</i>	DEFINITION
<i>Human Resources Management</i>	Ensures effective recruitment, selection, training, performance appraisal, recognition, and corrective/ disciplinary action; promotes affirmative employment, good labor-management relations, and employee well-being.
<i>Influencing/Negotiating</i>	Networks with, and provides information to, key groups and individuals; appropriately uses negotiation, persuasion, and authority in dealing with others to achieve goals.
<i>Interpersonal Skills</i>	Considers and responds appropriately to the needs, feelings, capabilities and interests of others; provides feedback; treats others equitably.
<i>Leadership</i>	Demonstrates and encourages high standards of behavior; adapts leadership style to situations and people; empowers, motivates, and guides others.
<i>Management Controls/ Integrity</i>	Ensures the integrity of the organization's processes; promotes ethical and effective practices.
<i>Managing Diverse Workforce</i>	Recognizes the value of cultural, ethnic, gender, and other individual differences; provides employment and development opportunities for a diverse workforce.
<i>Oral Communication</i>	Listens to others; makes clear and effective oral presentations to individuals and groups. (NOTE: Use of a sign language interpreter may be appropriate for persons who are deaf or hard-of-hearing.)

August 1995

**DEPARTMENT OF THE INTERIOR
HUMAN RESOURCES MANAGEMENT HANDBOOK**

<i>LEF COMPETENCY</i>	DEFINITION
<i>Planning and Evaluating</i>	Establishes policies, guidelines, plans, and priorities; identifies required resources; plans and coordinates with others; monitors progress and evaluates outcomes; improves organizational efficiency and effectiveness.
<i>Problem Solving</i>	Recognizes and defines problems; analyzes relevant information; encourages alternative solutions and plans to solve problems.
<i>Self-Direction</i>	Realistically assesses own strengths, weaknesses, and impact on others; seeks feedback from others; works persistently towards a goal; demonstrates self-confidence; invests in self-development; manages own time efficiently.
<i>Team Building</i>	Fosters cooperation, communication, and consensus among groups.
<i>Technical Competence</i>	Demonstrates technical proficiency and an understanding of its impact in areas of responsibility.
<i>Technology Management</i>	Encourages staff to stay informed about new technology; applies new technologies to organizational needs; ensures staff are trained and capable.
<i>Vision</i>	Creates a shared vision of the organization; promotes wide ownership; champions organizational change.
<i>Written Communication</i>	Communicates effectively in writing; reviews and critiques others' writing.

August 1995