



Department of Defense INSTRUCTION

NUMBER 1400.25, Volume 410
September 25, 2013

USD(P&R)

SUBJECT: DoD Civilian Personnel Management System: Training, Education, and Professional Development

References: See Enclosure 1

1. PURPOSE

a. Instruction. This instruction is composed of several volumes, each containing its own purpose. The purpose of the overall instruction, in accordance with the authority in DoD Directive (DoDD) 5124.02 (Reference (a)), is to establish and implement policy, establish procedures, provide guidelines and model programs, delegate authority, and assign responsibilities regarding civilian personnel management within the Department of Defense.

b. Volume. This volume:

(1) Establishes policy, assigns responsibilities, and establishes procedures for programs, administration, and evaluation of training, education, and professional development (TE&PD) activities for civilian employees.

(2) Incorporates and cancels DoD Instruction (DoDI) 1430.04 (Reference (b)), DoDI 1430.17 (Reference (c)), Under Secretary of Defense for Personnel and Readiness (USD(P&R)) Memorandum (Reference (d)), Assistant Secretary of Defense for Force Management Policy Memorandum (Reference (e)), Deputy Assistant Secretary of Defense for Civilian Personnel Policy Memorandum (Reference (f)), and Acting Deputy Assistant Secretary of Defense for Civilian Personnel Policy Memorandum (Reference (g)).

2. APPLICABILITY. This volume:

a. Applies to OSD, the Military Departments, the Office of the Chairman of the Joint Chiefs of Staff and the Joint Staff, the Combatant Commands, the Office of the Inspector General of the Department of Defense, the Defense Agencies, the DoD Field Activities, and all other organizational entities in the Department of Defense (referred to collectively in this volume as the "DoD Components").

b. Applies to TE&PD activities covered by chapter 41 of Title 5, United States Code (U.S.C.) (Reference (h)) and part 410 of Title 5, Code of Federal Regulations (Reference (i)) that are conducted, sponsored, contracted, or funded in whole or in part by the DoD Components. This volume is directly aligned with Reference (i) and must be used in concert with it. Where this volume is silent, the guidance contained in Reference (i) applies without DoD supplementation. This includes but is not limited to TE&PD activities, to the extent not specifically addressed in other DoD issuances, for:

(1) Supervisory, managerial, and executive development of civilian employees covered by part 412 of Reference (i).

(2) Employees covered by the DoD Civilian Intelligence Personnel System (DCIPS), as established by DoDD 1400.35 (Reference (j)), only to the extent permitted by law and applicable regulations.

(3) Employees in civilian positions paid from appropriated and non-appropriated funds worldwide, only to the extent permitted by law and applicable regulations.

c. Does **not** apply to:

(1) DoD-conducted, -sponsored, -contracted, or -funded TE&PD activities the primary mission of which is training, education, or professional development of military personnel.

(2) Organizations, employees, and activities excepted by the President pursuant to section 4102 of Reference (h).

3. POLICY. It is DoD policy to:

a. Invest in civilian human capital as a strategic corporate asset by deliberate planning, programming, budgeting, operation, evaluation, and improvement of TE&PD activities and programs for civilian employees that will enhance individual and organizational performance, assist in achieving performance objectives and the DoD mission, and maximize the return on investment to the Department of Defense.

b. Identify and implement effective strategies for developing civilian employees, including specific objectives and intended outcomes of TE&PD activities and programs to enhance the mission performance of individual functional communities and DoD Components.

c. Establish and annually update civilian employee TE&PD requirements, plans, programs, and budgets that are aligned with results of civilian strategic human capital planning established by Volume 250 of this instruction (Reference (k)).

d. Establish and maintain effective, efficient, economical, and progressive TE&PD activities and programs for civilian employees that will improve public service; leverage TE&PD resources to the greatest extent possible; increase effectiveness, efficiency, and economy of individual and organizational performance; build, sustain, and retain a mission-ready workforce

of skilled, effective, efficient, and diverse civilian employees; and install and use the best modern practices and techniques in DoD mission performance.

e. Establish, implement, and annually update a 5-year plan to evaluate TE&PD activities and programs for civilian employees in accordance with this volume and improve program effectiveness, efficiency, and economy, with a special focus on support for mission-critical functions performed by civilian employees.

f. Provide TE&PD opportunities for civilian employees when they are needed to improve performance of official duties; develop competencies, skills, knowledge, and abilities to enhance performance of current and future mission-related assignments; and equip employees with the skills to master new technologies and business practices.

g. Provide information about TE&PD policies, responsibilities, procedures, and opportunities to new employees during in-processing and to all employees on a regular basis.

h. To the greatest extent possible, provide access to computers, other technology, and user training necessary to ensure that all mandatory and technical training requirements are met.

i. Provide supervisory, managerial, and executive oversight of TE&PD activities and programs for civilian employees to promote fair and equitable treatment of civilian employees relative to TE&PD opportunities and ensure adherence to equal employment opportunity regulations and merit system principles in section 2301(b)(2) of Reference (h), section 302(b) of Executive Order (E.O.) 11348 (Reference (l)), section 410.302(a) of Reference (h), and DoDD 1020.02 (Reference (m)).

(1) Select employees for TE&PD activities and programs without regard to political preference, age, color, disability, genetic information, national origin, race, religion, sex, marital status, sexual orientation, status as a parent, or any other non-merit-based factor.

(2) Ensure that the TE&PD facility, programs, and curriculum are accessible to employees with disabilities and section 508 compliant in accordance with section 701 of Title 29, U.S.C. (also known as the "Rehabilitation Act of 1973") (Reference (n)) and Chapter 126 of Title 42, U.S.C. (also known as "The Americans with Disabilities Act") (Reference (o)), as applicable.

(3) Disallow use of any TE&PD facility, activity, or program that unlawfully discriminates in the admission or treatment of students.

j. Leverage military and civilian TE&PD whenever possible in further support of the DoD total force approach to mission execution in accordance with DoDD 1322.18 (Reference (p)).

k. Leverage existing resources and cross-Component initiatives in the DoD Components and new technologies to improve the cost-effectiveness of DoD TE&PD activities and programs.

1. Implement TE&PD activities and programs for civilian employees at the highest possible level of academic quality and cost-effectiveness, consistent with the standards established by external accreditation and certification entities recognized by the U.S. Department of Education when applicable standards exist, or standards established by DoD when external standards do not exist or are inappropriate.

m. Establish DoD standards of academic quality and cost-effectiveness that are consistent with applicable law, including the Federal Acquisition Regulation (Reference (q)), and the Defense Federal Acquisition Regulation Supplement (Reference (r)).

4. RESPONSIBILITIES. See Enclosure 2.

5. PROCEDURES. See Enclosures 3, 4, and 5.

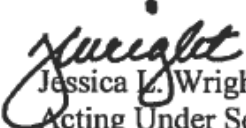
6. RELEASABILITY. **Unlimited**. This volume is approved for public release and is available on the Internet from the DoD Issuances Website at <http://www.dtic.mil/whs/directives>.

7. EFFECTIVE DATE. This volume

a. Is effective September 25, 2013.

b. Must be reissued, cancelled, or certified current within 5 years of its publication in order to be considered current in accordance with DoDI 5025.01 (Reference (s)).

c. Will expire effective September 25, 2023 and be removed from the DoD Issuances Website if it hasn't been reissued or cancelled in accordance with Reference (s).


Jessica L. Wright
Acting Under Secretary of Defense for
Personnel and Readiness

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- (b) DoD Instruction 1430.04, “Civilian Employee Training,” June 1, 2007 (hereby cancelled)
- (c) DoD Instruction 1430.17, “Department of Defense Civilian Education and Professional Development,” March 22, 2006 (hereby cancelled)
- (d) Under Secretary of Defense for Personnel and Readiness Memorandum, “Documenting and Reporting Civilian Training Requirements,” October 29, 2007 (hereby cancelled)
- (e) Assistant Secretary of Defense for Force Management Policy Memorandum, “Defense Career Intern Program (DCIP),” August 28, 2001 (hereby cancelled)
- (f) Deputy Assistant Secretary of Defense for Civilian Personnel Policy Memorandum, “Payment of Expenses to Obtain Professional Credentials,” June 17, 2002 (hereby cancelled)
- (g) Acting Deputy Assistant Secretary of Defense for Civilian Personnel Policy Memorandum, “Civilian Academic Degree Training,” August 15, 2001 (hereby cancelled)
- (h) Title 5, United States Code
- (i) Title 5, Code of Federal Regulations
- (j) DoD Directive 1400.35, “Defense Civilian Intelligence Personnel System (DCIPS),” September 24, 2007, as amended
- (k) DoD Instruction 1400.25, Volume 250, “DoD Civilian Personnel Management System: Civilian Strategic Human Capital Planning,” November 18, 2008
- (l) Executive Order 11348, “Providing for the Further Training of Government Employees,” April 20, 1967, as amended
- (m) DoD Directive 1020.02, “Diversity Management and Equal Opportunity (EO) in the Department of Defense,” February 5, 2009
- (n) Section 701 of Title 29, United States Code
- (o) Chapter 126 of Title 42, United States Code
- (p) DoD Directive 1322.18, “Military Training,” January 13, 2009
- (q) Federal Acquisition Regulation, current edition
- (r) Defense Federal Acquisition Regulation Supplement, current edition
- (s) DoD Instruction 5025.01, “DoD Directives Program,” September 26, 2012, as amended
- (t) DoD Directive 5100.87, “Department of Defense Human Resources Activity (DoDHRA),” February 19, 2008
- (u) Title 10, United States Code
- (v) DoD Directive 5110.04, “Washington Headquarters Services (WHS),” March 27, 2013
- (w) DoD Guidelines for Mandatory and Technical Training¹
- (x) Under Secretary of Defense for Personnel and Readiness Memorandum, “Framework for Department of Defense Civilian Strategic Workforce Planning and Enterprise Competency Management,” October 27, 2011
- (y) DoD Instruction 1430.02, “Civilian Career Management,” April 6, 2006
- (z) Office of Personnel Management Training Policy Handbook, current edition

¹ Available at <https://extranet.apps.cpms.osd.mil/>

- (aa) DoD Directive 5000.52, “Defense Acquisition, Technology, and Logistics Workforce Education, Training, and Career Development Program,” January 12, 2005
- (ab) DoD Instruction 5000.66, “Operation of the Defense Acquisition, Technology, and Logistics Workforce Education, Training, and Career Development Program,” December 21, 2005
- (ac) DoD Instruction 4715.10, “Environmental Education, Training and Career Development,” April 24, 1996
- (ad) DoD Instruction 1400.25, Volume 2011, “DoD Civilian Personnel Management System: Defense Civilian Intelligence Personnel System (DCIPS) Performance Management,” August 14, 2009, as amended
- (ae) Executive Order 13562, “Recruiting and Hiring Students and Recent Graduates,” December 27, 2010
- (af) Pathways Transition and Implementation Guidance, current edition
- (ag) DoD Instruction 1430.16, “Growing Civilian Leaders,” November 19, 2009
- (ah) DoD Directive 1403.03, “The Career Lifecycle Management of the Senior Executive Service Leaders within the Department of Defense,” October 25, 2007
- (ai) Office of Personnel Management Memorandum, “Fact Sheet on Certification and Certificate Programs,” August 13, 2008²
- (aj) U.S. Department of Education Database of Accredited Postsecondary Institutions and Programs, current edition
- (ak) DoD Instruction 1400.25, Volume 1100, “DoD Civilian Personnel Management System: Civilian Personnel Information Systems,” December 19, 2008
- (al) Part 216 of Title 32, Code of Federal Regulations
- (am) General Services Administration Excluded Parties List System, current edition
- (an) DoD Instruction 2000.16, “DoD Antiterrorism (AT) Standards,” October 2, 2006, as amended
- (ao) DoD Instruction 2200.01, “Combating Trafficking In Persons (CTIP),” September 15, 2010
- (ap) Section 111 of Public Law 108-447, “Constitution Day and Citizenship Day,” September 30, 2005
- (aq) DoD Instruction 3305.11, “DoD Counterintelligence (CI) Training,” March 19, 2007, as amended
- (ar) DoD Directive 8570.01, “Information Assurance (IA) Training, Certification, and Workforce Management,” August 15, 2004
- (as) Section 202 of Public Law 107-174, “Notification and Federal Employee Antidiscrimination and Retaliation Act,” May 15, 2002
- (at) DoD Directive 5205.02, “DoD Operations Security (OPSEC) Program,” June 20, 2012
- (au) DoD 5200.08-R, “Physical Security Program,” April 9, 2007, as amended
- (av) DoD Directive 6495.01, “Sexual Assault Prevention and Response (SAPR) Program,” January 23, 2012, as amended
- (aw) DoD Instruction 6495.02, “Sexual Assault Prevention and Response (SAPR) Program Procedures” March 28, 2013
- (ax) DoD 5400.11-R, “Department of Defense Privacy Program,” May 14, 2007
- (ay) Director of Administration and Management Memorandum “Safeguarding Against and Responding to the Breach of Personally Identifiable Information (PII),” June 5, 2009
- (az) Title 36, Code of Federal Regulations

² Available at <http://www.chcoc.gov/Transmittals/TransmittalDetails.aspx?TransmittalID=1489>

- (ba) DoD Directive 5015.02, "DoD Records Management Program," March 6, 2000
- (bb) Public Law 110-389, "Veterans' Benefits Improvement Act of 2008," October 10, 2008
- (bc) Part 1960 of Title 29, Code of Federal Regulations
- (bd) DoD Instruction 6055.1, "DoD Safety and Occupational Health (SOH) Program," August 19, 1998
- (be) DoD Instruction 1322.06, "Fellowships, Scholarships, Training With Industry (TWI), and Grants for DoD Personnel," November 15, 2007
- (bf) DoD Instruction 1000.17, "Detail of DoD Personnel to Duty Outside the Department of Defense," April 16, 2008, as amended
- (bg) DoD 5500.07-R, "Joint Ethics Regulation (JER)," August 1, 1993, as amended
- (bh) DoD Information Assurance Scholarship Program, Recruitment and Retention Program Descriptions, current edition³
- (bi) DoD Instruction 1025.02, "National Security Education Program," March 9, 2006
- (bj) National Security Education Program, current edition⁴
- (bk) American Society for Engineering Education and Naval Postgraduate School Science, Mathematics, and Research for Transformation (SMART) Scholarship-for-Service Program Brochure, current edition⁵
- (bl) OPM Intergovernmental Personnel Act Mobility Program, current edition⁶
- (bm) DoD Instruction 1400.24, "Civilian Mobility Program," February 17, 2006
- (bn) Executive Order 13434, "National Security Professional Development" May 17, 2007
- (bo) OPM Guide for Collection and Management of Training Information, current edition
- (bp) OPM Guide to Human Resources Reporting, current edition
- (bq) Section 635 of Public Law 106-58, "Treasury and General Government Appropriations Act, 2000," September 29, 1999
- (br) Title 31, United States Code
- (bs) Section 4742 of Title 42, United States Code
- (bt) Section 2357(a) of Title 22, United States Code
- (bu) Architectural Barriers Act Accessibility Standards for Department of Defense Facilities, current edition⁷
- (bv) Joint Travel Regulations, Volume 2, "DoD Civilian Personnel," current edition
- (bw) Section 12 of the Equal Employment Opportunity Commission Compliance Manual, "Religious Discrimination," current edition
- (bx) Section 9 of Public Law 104-146, "Ryan White CARE Amendments of 1996," May 20, 1996
- (by) DoD Directive 4500.54E, "DoD Foreign Clearance Program (FCP)," December 28, 2009
- (bz) DoD 7000.14-R, "Department of Defense Financial Management Regulations (FMRs)," current edition

³ Available at <http://cio-nii.defense.gov/sites/iasp2/prospective.html>

⁴ Available at <http://www.nsep.gov/>

⁵ Available at <http://smart.asee.org/>

⁶ Available at <http://www.opm.gov/>

⁷ Available at <http://www.access-board.gov/ada-aba/aba-standards-dod.cfm>

ENCLOSURE 2

RESPONSIBILITIES

1. USD(P&R). The USD(P&R):

a. Exercises overall responsibility for policy, procedures, and information requirements for TE&PD activities and programs for civilian employees.

b. Coordinates all intelligence-related TE&PD matters with the Under Secretary of Defense for Intelligence (USD(I)).

2. ASSISTANT SECRETARY OF DEFENSE FOR READINESS AND FORCE MANAGEMENT (ASD(R&FM)). Under the authority, direction, and control of the USD(P&R), the ASD(R&FM):

a. Develops DoD policy, procedures, and information requirements for TE&PD activities and programs for civilian employees and issues appropriate guidance.

b. Coordinates with the Chairman of the Joint Chiefs of Staff on policy and requirements for civilian participation in military education and professional development.

3. DEPUTY ASSISTANT SECRETARY OF DEFENSE FOR CIVILIAN PERSONNEL POLICY (DASD(CPP)). Under the authority, direction, and control of the ASD(R&FM), the DASD(CPP):

a. Authorizes the establishment, modification, or cancellation of the DoD-sponsored TE&PD activities and programs included in Enclosure 3.

b. Monitors and evaluates the implementation and cost-effectiveness of programs, waives evaluation provisions on a case-by-case basis, and issues appropriate changes or revisions based on these evaluations.

c. Identifies, develops, and implements appropriate standards of academic quality and cost-effectiveness for TE&PD activities, programs, products, and services for civilian employees.

d. Approves civilian participants selected for DoD sponsored TE&PD activities and programs.

e. Coordinates with the Deputy Assistant Secretary of Defense for Readiness on requirements for civilian participation in military training.

4. DIRECTOR, DEPARTMENT OF DEFENSE HUMAN RESOURCES ACTIVITY (DoDHRA). Under the authority, direction, and control of the USD(P&R) and in accordance with DoDD 5100.87 (Reference (t)), the Director, DoDHRA:

a. Develops and provides products and services that foster the academic quality and cost-effectiveness of TE&PD activities and programs for civilian employees. This may include best practices and benchmarks, self-assessment tools for activities, programs, and institutions, and consultation with sponsors of activities, programs, and institutions on issues such as distance learning, program evaluation, and accreditation standards.

b. Facilitates consultation and coordination between the Departments of Defense and State regarding the use of foreign TE&PD instrumentalities for DoD employees who are located within the United States.

c. Recommends to the DASD (CPP) the creation or revision of DoD sponsored TE&PD activities and programs.

d. Recommends to the DASD (CPP) the selection of civilian participants for DoD sponsored TE&PD activities and programs.

5. USD(I). The USD(I) implements the policies of this volume within DCIPS in conjunction with the USD(P&R) and in accordance with chapter 83 of Title 10, U.S.C. (Reference (u)).

6. DIRECTOR, WASHINGTON HEADQUARTERS SERVICES (WHS). Under the authority, direction, and control of the Director of Administration and Management, the Director, WHS, implements the policies, procedures, and information requirements established in this volume for TE&PD activities and programs required to support functions and responsibilities assigned to WHS in DoDD 5110.04 (Reference (v)).

7. DoD COMPONENT HEADS. The DoD Component heads:

a. Implement the policies, procedures, and information requirements established in this volume, and issue supplemental guidance as appropriate for TE&PD activities and program under their cognizance.

b. Delegate all or part of the responsibilities in this section to the lowest practical level to meet organizational or operational needs, consistent with mission requirements and available resources.

c. Establish a TE&PD needs assessment and fulfillment process that incorporates the creation and update of individual development plans (IDPs) and executive development plans (EDPs) for all civilian employees.

d. Establish, implement, and annually update Component TE&PD plans, programs, and budgets that support the installation and use of the best TE&PD practices and techniques and raise the level of civilian employee performance to meet present and anticipated requirements for administrative, technical, professional, supervisory, managerial, and executive competencies.

e. Establish administrative controls and provide adequate staffing to ensure that the TE&PD activities and programs being planned, conducted, sponsored, contracted, or funded will improve the performance of civilian employees and contribute to more effective, efficient, and economical achievement of mission objectives.

f. Establish data-driven procedures for making TE&PD investment decisions based on identified requirements, available resources, benefits to the organization, and cost-effectiveness of TE&PD activities and programs.

g. Plan, program, and fund a budget for TE&PD activities and programs to meet identified requirements for a high-performing workforce of civilian employees and potential future supervisors, managers, and executives.

h. Establish and maintain IDPs and EDPs for all civilian employees subject to this volume.

i. Ensure all mandatory and technical training requirements are met in accordance with the DoD Guidelines for Mandatory and Technical Training (Reference (w)) and Enclosure 3 of this volume.

j. Conduct annual reviews of TE&PD activities and programs, integrate TE&PD activities and programs with other personnel management and operating functions, and conduct periodic audits of TE&PD activities and programs for civilian employees to ensure compliance with the policies, procedures, and information requirements in this volume.

k. Establish, implement, and update annually a 5-year plan to evaluate and improve civilian employee TE&PD activities and programs.

l. Certify annually to the DASD(CPP) that the 5-year plan described in paragraph 6j of this enclosure has been established, implemented, and updated as appropriate.

m. Forward recommendations for the establishment, modification, or cancellation of DoD-sponsored TE&PD programs with full justification to the Director, Human Resource Strategic Programs and Advisory Service, Defense Civilian Personnel Advisory Service (DCPAS), for appropriate action.

n. Ensure that Component functional community managers (CFCMs) will assess functional training and development programs, develop strategies to ensure closure of identified competency gaps, and address these new TE&PD requirements to Office of the Secretary of Defense functional community managers (OFCMs) in accordance with USD(P&R) Memorandum (Reference (x)) and DoDI 1430.02 (Reference (y)).

o. Forward recommendations for improvements to this volume and any requests for waivers to specific provisions of this volume with full justification to the DASD(CPP).

8. CHAIRMAN OF THE JOINT CHIEFS OF STAFF. In addition to the responsibilities in section 7 of this enclosure, the Chairman of the Joint Chiefs of Staff will ensure DoD civilian employees have access to joint learning opportunities required for their development including, but not limited to, military education and professional development activities and programs.

9. OSD COMPONENT HEADS. The OSD Component heads (excluding the USD(I)) will implement the policies, procedures, and information requirements established in this volume, and issue supplemental guidance as appropriate for TE&PD activities and programs under their cognizance.

ENCLOSURE 3

PROGRAM PROCEDURES

1. GENERAL. Supplemental guidance issued by DoD Components to implement the program procedures in this enclosure must be consistent with the policies, procedures, and information requirements in this volume, other applicable DoD issuances, the Training Policy Handbook published by the U.S. Office of Personnel Management (OPM) (Reference (z)), and other citations in this volume. Any recommendations for improvements to this enclosure or requests for waivers of the specific provisions of this enclosure must be submitted in accordance with paragraph 7n of Enclosure 2.

2. CAREER PROGRAMS WITHIN CAREER FIELDS

a. Management of career programs and career fields must be consistent with the results of civilian strategic human capital planning established by Reference (k).

b. Managers of career programs and career fields must collaborate with the FCMs in OSD and DoD Components, as well as the human resources development (HRD), manpower, and fiscal management communities, to develop and implement the TE&PD plans, programs, and budgets needed to provide civilian competencies necessary to meet current and future mission requirements.

c. The following DoD issuances include guidance on TE&PD activities for specific career programs within career fields:

(1) DoDD 5000.52 (Reference (aa)), DoDI 5000.66 (Reference (ab)), and DoDI 4715.10 (Reference (ac)) for career programs within the acquisition, technology, logistics, and environmental career fields.

(2) References (k) and (x) for career programs within other career fields.

(3) Volume 2011 of this instruction (Reference (ad)) for DCIPS career fields.

3. ENTRY- AND MID-LEVEL DEVELOPMENT PATHWAYS PROGRAMS

a. Pathways Internship Program. This program provides students in high schools, community colleges, 4-year colleges, trade schools, career and technical education programs, and other qualifying educational institutions and programs with paid opportunities to work in federal agencies and explore federal government careers while still in school. It is authorized by E.O. 13562 (Reference (ae)) and applicable regulations in sections 213, 302, 315, 362 of Reference (i) and described in the Pathways Transition and Implementation Guidance (Reference (af)).

b. Recent Graduates Program. This program provides individuals who have recently graduated from qualifying educational institutions or programs with developmental experiences in the Federal Government intended to promote possible careers in the civil service, as authorized by Reference (ae) and Part 362 of Reference (i), and as described in Reference (af).

c. Presidential Management Fellows Program. This program aims to attract to the federal service outstanding men and women from a variety of academic disciplines at the graduate level who have a clear interest in, and commitment to, the leadership and management of public policies and programs, as authorized by Reference (h) and described in Reference (af).

4. MID- AND SENIOR-LEVEL LEADER DEVELOPMENT PROGRAMS

a. DoDI 1430.16 (Reference (ag)) provides specific guidance on TE&PD programs for civilian leaders below the executive level.

b. DoDI 1403.03 (Reference (ah)) provides specific guidance on TE&PD programs for Senior Executive Service members.

5. PROFESSIONAL CREDENTIALS. In accordance with sections 105, 2301, 4109, 4110, 5757, and 5946 of Reference (i), the OPM Memorandum (Reference (ai)), and specific citations listed in these paragraphs:

a. DoD Components may use appropriated funds or other available funds to pay for expenses for employees to obtain professional credentials (including expenses for professional accreditation, State-imposed and professional licenses, and professional certification), and for examinations to obtain such credentials.

b. DoD Components may not use appropriated funds for any employee occupying or seeking to qualify for appointment to any position that is excepted from the competitive service because of the confidential, policy-determining, policy-making, or policy-advocating character of that position.

c. DoD Components use appropriated funds consistent with the principles cited in paragraph 4i above the signature of this volume and any collective bargaining obligations. The use of funds under this authority must be reviewed annually for accountability and compliance.

d. Only officials with budget authority may approve the use of appropriated funds or funds otherwise available to the DoD Components to pay for such expenses.

e. DoD Components may pay or reimburse employees for all or part of the expenses of acquiring and maintaining professional credentials when such credentials contribute to enhancement of job performance and the systematic development of employees relating to their

current position or the current or future mission, requirements, goals, or objectives of the Component or the DoD.

(1) Such expenses may include direct and indirect costs of the courses or other services or facilities necessary to prepare for a professional certification exam, travel to take the exam, registration fees for the exam, and fees for the initial award and required periodic renewals of the professional credential.

(2) DoD Components may also grant administrative leave to an employee for specific purposes, such as taking exams.

f. Payment or reimbursement for initiation fees or periodic dues for membership in a professional organization or expenses for attendance of a member at meetings or conventions of the organization is prohibited unless:

(1) Membership or attendance is a prerequisite to acquiring or maintaining a required professional credential.

(2) The DoD Component pays for an employee to acquire or maintain a professional credential and the employee maintains membership in the professional organization as an incidental by-product of acquiring or maintaining the credential and attends its meetings or conventions to maintain the credential.

g. Payment or reimbursement for expenses of voluntary memberships in professional organizations of already credentialed employees is prohibited. Payment or reimbursement may be made for expenses of attendance of employees at a meeting or convention which is concerned with the functions or activities for which appropriations available to DoD Components for travel expenses were made, or which will contribute to improved conduct, supervision, or management of those functions or activities.

h. All payments or reimbursements for expenses and all grants of administrative leave are discretionary (i.e., not an employee entitlement) and should be based on organizational need, talent availability, and other mission-related criteria and standards established by the DoD Components. Employees should obtain prior Component approval before incurring any expenses for which they are requesting reimbursement from the Component.

i. Minimum position qualification requirements based upon the presence or absence of a professional credential may not be established, unless permitted by law or regulations. A professional credential may be used as a quality ranking factor, but not as a selective placement factor, for requirements that are not based on law or regulations.

j. If a professional credential is a condition of employment, that information must be included in the vacancy announcement.

(1) Expenses necessary to qualify an employee for a specific vacancy announcement are personal expenses and may not be charged to appropriated funds, unless permitted by law or regulations.

(2) For DoD acquisition, technology, and logistics workforce personnel, any such conditions of employment and permitted expenses must be authorized in accordance with chapter 87 of Reference (u), Reference (aa), and Reference (ab).

k. If an academic degree, certificate, or course is required to obtain a professional credential, the training must also be authorized and approved in accordance with sections 6 or 7 of this enclosure, as appropriate.

6. ACADEMIC DEGREES. In accordance with sections 105 and 4107 of Reference (h), section 410.308 of Reference (i), and citations noted in paragraphs 6a through 6l:

a. DoD Components may exercise authority on behalf of the Department of Defense to select and assign employees to academic degree training and pay or reimburse employees for all or part of the necessary direct and indirect costs of such training from appropriated funds or other available funds if all of the following conditions are met:

(1) The training contributes significantly to meeting an identified training need, resolving an identified staffing problem, or accomplishing goals in the strategic plan of the DoD Component.

(2) The training is part of a planned, systematic, and coordinated employee development program linked to accomplishing the strategic goals of the DoD Component.

(3) The training is accredited and is provided by a college, university, or other institution or program that is accredited by a regional, national, or international accrediting body recognized by the U.S. Department of Education and listed in its Database of Accredited Postsecondary Institutions and Programs (Reference (aj)).

b. DoD Components may not exercise this authority on behalf of any employee occupying or seeking to qualify for a noncareer appointment in the Senior Executive Service or appointment to any position that is excepted from the competitive service because of its confidential policy-determining, policy-making, or policy-advocating character.

c. Selection and assignment of employees to academic degree training must meet one or more of the criteria in paragraph 6a of this enclosure and follow the merit promotion requirement in section 335.103(b)(3), the competitive procedures requirement in section 335.103(c)(1)(iii), and the employment practices in subpart A of part 300 of Reference (i). Under these conditions, listed in section 410.308(c) of Reference (i), DoD Components may competitively select and assign an employee to an academic degree training program that qualifies the employee for promotion to a higher-graded position or to a position that requires an academic degree.

d. DoD Components must assure that the training is not for the sole purpose of providing an employee an opportunity to obtain an academic degree or qualify for appointment to a particular position for which the academic degree is a basic requirement, except that DoD Components may provide tuition reimbursement and training (including a full-time course of study leading to an academic degree) for DoD acquisition, technology, and logistics workforce personnel in accordance with section 1745(a) of Reference (u), Reference (aa), and Reference (ab).

e. DoD Components may, whenever practicable, encourage the use of online academic degree training, assess and maintain records on the effectiveness of academic degree training programs, and provide information on the use and effectiveness of these programs as requested.

f. DoD Components must exclusively use the Defense Civilian Personnel Data System (DCPDS) described in Volume 1100 of this instruction (Reference (ak)) for recording academic degree training and awards.

g. Only officials with budget authority may approve the use of appropriated funds or funds otherwise available to the DoD Components to pay for academic degree training expenses.

h. Payment or reimbursement for academic degree training may include such expenses as application fees, registration fees, tuition, books, equipment, supplies, and parking fees. DoD Components may also grant administrative leave to an employee for specific purposes, such as applying for admission, registering for classes, and purchasing books and other required items.

i. All payments or reimbursements for expenses and all grants of administrative leave are discretionary (i.e., not an employee entitlement) and should be based on organizational need, talent availability, and other mission-related criteria and standards established by the DoD Components. Employees should obtain prior Component approval before incurring any expenses for which they are requesting reimbursement from the Component.

j. DoD Components may pay or reimburse employees for authorized expenses for academic degrees only if the degree-granting institution or program meets all of the following conditions:

(1) The academic degree training is accredited and provided by an institution or program listed in Reference (aj).

(2) The institution or program facility and curriculum are accessible to employees with disabilities in accordance with References (n) and (o), as applicable.

(3) Employees are selected for TE&PD activities and programs without regard for political preference, age, color, disability, genetic information, national origin, race, religion, sex, marital status, sexual orientation, status as a parent, or any other non-merit-based factor and with regard for their constitutional and privacy rights.

(4) The institution or program (including any sub-element of it) has not been determined by the Secretary of Defense to have a policy or practice that either prohibits or in effect prevents establishment, operation, or maintenance of a unit of the Senior Reserve Officer Training Corps

on campus, or that prevents a student at that institution or program (or any sub-element of it) from enrolling in a unit of the Senior Reserve Officer Training Corps at another institution or program of higher education. In accordance with section 983(a) et al. of Reference (u) and part 216 of Title 32, Code of Federal Regulations (Reference (al)), DoD Components may not provide funds by contract or by grant to an institution or program listed in the General Services Administration Excluded Parties List System (Reference (am)).

(5) The institution or program (including any sub-element of it) has not been determined by the Secretary of Defense to have a policy or practice that either prohibits, or in effect prevents access to campuses, or access to students on campuses, for purposes of military recruiting, or that prevents access by military recruiters to authorized student information. In accordance with section 983(b) et al. of Reference (u) and Reference (al), DoD Components may not provide funds by contract or by grant to an institution or program listed in Reference (am).

(6) Notwithstanding paragraphs 6j(4) and 6j(5) of this enclosure, DoD and other federal funding that may be provided to an institution of higher education or to an individual to be available solely for student financial assistance, related administrative costs, or costs associated with attendance, may be used for the purpose for which the funding is provided, in accordance with section 983(d)(2) et al. of Reference (u).

k. DoD Components must establish policies and procedures that specify eligibility standards (e.g., minimum employee performance appraisal ratings acceptable for eligibility to attend a course); nomination, application, and selection requirements and processes; and academic standing requirements to continue in the program.

l. Participants in academic degree training who transfer from one DoD Component to another must reapply to the gaining DoD Component for continued funding of this training.

7. ACADEMIC COURSES AND CERTIFICATES

a. DoD Components may pay or reimburse employees from appropriated or other available funds for all or part of the direct and indirect costs of enrolling in individual academic courses or a series of courses leading to an academic certificate relating to the current position of the employee or the current or future mission requirements of the employee's organization.

b. Institutions offering individual academic courses, programs, and certificates must be accredited as listed in Reference (aj), and meet all of the conditions listed in paragraphs 6j(1) through 6j(6) of this enclosure.

c. DoD Components must exercise this authority consistent with the principles cited in paragraph 3i of this volume and collective bargaining obligations. The use of funds under this authority must be reviewed annually for accountability and compliance.

d. Only officials with budget authority may approve the use of appropriated funds or funds otherwise available to the DoD Components to pay for academic courses and certificates.

e. Payment or reimbursement for academic courses and certificates may include expenses such as application fees, registration fees, tuition, books, equipment, supplies, and parking fees. DoD Components may also grant administrative leave to an employee for specific purposes, such as applying for admission, registering for classes, and purchasing books and other required items.

f. All payments or reimbursements for expenses and all grants of administrative leave are discretionary (i.e., not an employee entitlement) and should be based on organizational need, talent availability, and other mission-related criteria and standards established by the DoD Components. Employees should obtain prior Component approval before incurring any expenses for which they are requesting reimbursement from the Component.

g. DoD Components must ensure that the training is not for the sole purpose of providing an employee the opportunity to obtain an academic course, certificate, or degree (unless the provisions of section 6 of this enclosure are met), or qualify for appointment to a particular position for which the academic course, certificate, or degree is a basic requirement, except for DoD acquisition, technology, and logistics workforce personnel in accordance with section 1745(a) of Reference (u), Reference (aa), and Reference (ab). Academic degree training must be authorized and approved in accordance with section 6 of this enclosure.

8. **MANDATORY TRAINING.** The DoD Components ensure employees complete all training mandated by law, regulation, Executive order, or other memorandums. This list may be supplemented by training mandated by the DoD Component heads or functional leaders of DoD-wide career development programs. Training will be completed as dictated by governing statute or regulation, including frequency of training and any required content.

a. **Antiterrorism Training.** DoD Components will provide antiterrorism Level I awareness training to orient all civilian personnel on general terrorist threat and personal protection measures that could reduce vulnerability to acts of terrorism, consistent with DoDI 2000.16 (Reference (an)). Antiterrorism training will be offered to DoD contractor employees, under the terms and conditions specified in their contract.

b. **Combating Trafficking In Persons (CTIP).** DoD Components will conduct annual CTIP awareness training program for all members of their Components to educate all DoD civilians annually on the worldwide trafficking menace, national trafficking in persons policy, overseas theater trafficking in persons policy, and attendant personal responsibilities consistent with DoD core values and ethical standards. Training provided will be in accordance with DoDI 2200.01 (Reference (ao)). This training may be combined with other security related training.

c. **Constitution Day and Citizenship Day Training.** DoD Components will provide education and training material about the United States Constitution as part of orientation materials and, each year, make education and training material about the United States Constitution and citizenship available on and around September 17, in accordance with section 111 of Public Law 108-447 (Reference (ap)). Training and education resource materials are available at <http://constitutionday.cpms.osd.mil/>.

d. Counterintelligence Awareness. DoD Components will develop and implement counterintelligence awareness training programs within their organizations, pursuant to DoDI 3305.11 (Reference (aq)). The awareness and briefing programs will promote threat and reporting awareness responsibilities, enabling DoD personnel to identify threats and report suspicious situations and incidents to appropriate authorities. This training may be combined with other security related training.

e. Ethics Orientation and Training. DoD Components will provide each new employee, within 90 days of the date of entrance on duty, one hour of duty time to review ethics materials and any additional DoD Component regulations or training course that covers similar information. Frequency of ethics training is determined by series, profession, and any additional guidance issued by the DoD General Counsel. Ethics orientation and training will be consistent with subparts 2638.703 through 2638.705 of Reference (i). The U.S. Office of Government Ethics provides this link with listings of the referenced Code of Federal Regulations subparts, as well as other ethics information: <http://www.usoge.gov>.

f. Information Assurance (IA) Training. DoD Components will provide initial, continuing, and refresher training to all employees responsible for the management or use of computer systems that process sensitive information, including executives; program and functional managers, information resource management, security, and audit personnel; information technology management, operations, and programming personnel; and end users. Training will include computer security basics; computer security policies and procedures; contingency planning; and systems life cycle management. IA training will be consistent with DoDD 8570.01 (Reference (ar)) and Part 41, subparts 930.301 through 930.305 of Reference (i).

g. No Fear Act. DoD Components will train all of their employees (including supervisors and managers) about the rights and remedies available under antidiscrimination laws and whistleblower protection laws. Components must train new employees on these issues in their orientation programs or other training programs. Components that do not use a new employee orientation program must train new employees within 90 calendar days of appointment. No Fear Act training will be consistent with section 202 of Public Law 107-174 (Reference (as)).

h. Operations Security (OPSEC). DoD Components will provide annual OPSEC awareness training to OPSEC program managers or coordinators, the information operations career force and other DoD personnel commensurate with their respective responsibilities. Components will establish an OPSEC program focused on command involvement, assessments, surveys, training, education, threat, resourcing, and awareness. This training may be combined with other security related training. Training will be in accordance with DoDD 5205.02 (Reference (at)).

i. Physical Security. DoD Components will implement training so that employees understand their day-to-day security responsibilities, are familiar with vulnerabilities of the facility, and are prepared to implement emergency security actions. This includes protective measures to safeguard personnel and prevent unauthorized access to and safeguard property and information. Physical security program training will be in accordance with DoD 5200.08-R (Reference (au)).

j. Prevention of Sexual Harassment. The DoD Components will provide training programs to teach employees at all levels how to identify and prevent sexual harassment consistent with requirements in DoDD 6495.01 (Reference (av)) and DoDI 6495.02 (Reference (aw)).

k. Privacy Act and Personally Identifiable Information. DoD Components will provide training on information privacy laws, regulations, policies, and procedures governing the DoD's collection, maintenance, use or dissemination of personal information. The training will be in accordance with DoD 5400.11-R (Reference (ax)) and Director of Administration and Management Memorandum (Reference (ay)).

l. Records Management Program. DoD Components must provide training and guidance to all employees on agency records disposition requirements and procedures, in accordance with parts 1224 and 1225 of Title 36, Code of Federal Regulations (Reference (az)) and DoDD 5015.02 (Reference (ba)). These references provide guidance on the information and documentation for records management, the principles of records management programs, retention and disposition, discontinuing records systems, and implementing disposition, which apply to records disposition. A records disposition program must be implemented to ensure proper disposal of records in accordance with part 1225 of Reference (az) and transfer permanent records to the National Archives of the United States.

m. Uniformed Services Employment and Reemployment Rights Act (USERRA). DoD Components will ensure that USERRA training is completed by personnel of the agency who are authorized to recommend, take, or approve any employment or reemployment action. USERRA training is to be completed in accordance with Public Law 110-389 (Reference (bb)). The OPM-provided training at <http://www.opm.gov/news/media-center/mediacentervideos.aspx?vid=6544> will fulfill the USERRA supervisory training requirement.

n. Workplace Safety. DoD Components are responsible for protecting personnel, equipment, and facilities for the effective implementation of safety and occupational health policies and provide education and training to prevent accidents, injuries, and occupational illnesses. Training requirements for all federal agencies must be administered according to part 1960 of Title 29, Code of Federal Regulations (Reference (bc)) and as described in DoDI 6055.1 (Reference (bd)).

9. OTHER TRAINING COURSES AND CERTIFICATES

a. DoD Components must exercise this authority in a manner consistent with the principles cited in paragraph 3i above the signature of this volume and any collective bargaining obligations. The use of funds under this authority must be reviewed regularly for accountability and compliance.

b. Only officials with budget authority may approve the use of appropriated funds or funds otherwise available to the DoD Components to pay for expenses of obtaining training courses and certificates.

c. Payment or reimbursement for academic courses and certificates may include such expenses as application fees, registration fees, tuition, books, equipment, supplies, and parking fees. DoD Components may also grant administrative leave to an employee for specific purposes, such as applying for admission, registering for classes, and purchasing books and other required items.

d. All payments or reimbursements for expenses and all grants of administrative leave are discretionary (i.e., not an employee entitlement) and should be based on organizational need, talent availability, and other mission-related criteria and standards established by the DoD Components. Employees should obtain prior Component approval before incurring any expenses for which they are requesting reimbursement from the Component.

e. DoD Components must assure that the training is not for the sole purpose of providing an opportunity for an employee to obtain a training course or certificate or qualify for appointment to a particular position for which the training course or certificate is a basic requirement, except that DoD Components may pay for the expenses of training courses and certificates for DoD acquisition, technology, and logistics workforce personnel in accordance with section 1745(a) of Reference (u), Reference (aa), and Reference (ab).

f. DoD Components must ensure that the TE&PD activities under their cognizance meet appropriate standards of academic quality and cost-effectiveness. Such standards must include, at a minimum, a requirement for an end-of-course evaluation of the course organization, planning, content, delivery, and cost-effectiveness in achieving intended learning outcomes.

g. The Defense Acquisition University may establish and offer DoD-sponsored training courses and certificates for DoD acquisition, technology, and logistics workforce personnel under provisions of section 1745(a) of Reference (u), Reference (aa), and Reference (ab).

h. DoD Components must ensure that civilian employees complete all training mandated by law, E.O., regulation, or DoD policy, as listed in Reference (w). DoD Components may issue supplemental mandatory and technical training requirements as appropriate.

i. CFCMs will address new TE&PD requirements to OFCMs in accordance with References (k) and (x). OFCMs will assess functional training and development programs and other strategies to ensure closure of identified competency gaps. OFCMs will recommend resulting DoD sponsored TE&PD to the DASD(CPP) for approval.

10. FELLOWSHIPS, SCHOLARSHIPS, TRAINING WITH INDUSTRY (TWI), AND GRANTS. DoD employees may accept fellowships, scholarships, TWI opportunities, and grants from corporations, foundations, funds, or educational institutions organized and operated primarily for scientific, literary, or educational purposes, in accordance with section 2603 of Reference (u), section 4111 of Reference (h), subpart E of Reference (i), DoDI 1322.06 (Reference (be)), DoDI 1000.17 (Reference (bf)), and DoD 5500.7-R (Reference (bg)). Examples include but are not limited to:

a. IA Scholarship Program. This program, authorized by Reference (ar) and DoD Information Assurance Scholarship Program, Recruitment and Retention Program Descriptions (Reference (bh)), is designed to assist in recruiting and retaining highly qualified IA/cyber security and information technology personnel the DoD needs to manage, operate, and to secure its information infrastructure.

b. Legislative Fellowship Program. Authorized by Reference (be), this program provides opportunities for military and civilian personnel to learn the operative processes of the legislative branch of government.

c. National Security Education Program (NSEP). This program provides fellowships and scholarships to study world languages and cultures in support of national security objectives. DoD Components must follow NSEP guidelines in accordance with DoDI 1025.02 (Reference (bi)). The NSEP description (Reference (bj)) provides more information.

d. Science, Mathematics, and Research for Transformation (SMART) Scholarship-for-Service Program. This program provides fellowships and scholarships to students pursuing academic degrees in science, technology, engineering, and mathematics disciplines, in accordance with section 2192a of Reference (u). It aims to increase the number of civilian scientists and engineers working at DoD laboratories. The SMART Scholarship-for-Service Program description (Reference (bk)) provides more information.

11. OTHER PROFESSIONAL AND CAREER DEVELOPMENT PROGRAMS. Examples include but are not limited to:

a. Developmental Assignments. Developmental assignments provide DoD Components a way to enhance competencies by giving employees an opportunity to perform duties in other occupational, functional, or organizational elements. This enhances employee understanding of other operations, systems, and relationships.

(1) The length of the assignments may vary and may include such assignments as special projects, cross training, job exchanges, shadow assignments, details, temporary reassignments, and temporary promotions.

(2) These opportunities must have a well-defined learning objective and are established in conformance with all applicable civilian personnel management regulations pertaining to work assignments, details, reassignments, and promotions.

(3) Developmental assignments outside of the DoD must be implemented in accordance with Reference (be).

b. Intergovernmental Personnel Act (IPA) Mobility Program. DoD Components may use this program for temporary assignment of personnel between Components and other federal agencies, State and local governments, Indian tribal governments, institutions of higher education, federally funded research and development centers, and other eligible institutions. It

is a vehicle for developing employees by providing experiential opportunities in settings and organizations outside the permanent position of the employee. The IPA Mobility Program description (Reference (bl)) provides more information.

c. Mobility Programs. Mobility programs provide DoD Components a way to develop employee competencies and enhance career progression as part of an overall civilian workforce development strategy to improve mission effectiveness. Civilian mobility programs must be established and implemented in accordance with DoDI 1400.24 (Reference (bm)).

d. National Security Professional Development Program (NSPD). The NSPD is a government-wide initiative to develop a cadre of national security professionals through access to education, training, and professional opportunities to enhance mission-related knowledge, skills, abilities, and experiences in accordance with E.O. 13434 (Reference (bn)).

e. Sabbaticals. Sabbaticals are authorized absences from duty, without charge to pay or leave, that may be granted to a Senior Executive Service career appointee to engage in study or uncompensated work experience, as authorized in Reference (h). In addition, sabbaticals are used to provide a Title 10 faculty member who has completed 6 or more civilian service years of full-time teaching or research at a Senior Service College (SSC) with paid opportunities to engage in significant research or professional development activities, to develop new areas of expertise, or to conduct scholarly activities of particular benefit to the SSC. Eligibility criteria, procedures, and policy are determined by each respective SSC for their faculty.

12. HRD STRATEGIC ADVISORS. The HRD strategic advisors, appointed by and under the authority, direction, and control of their supervisors and the heads of subordinate organizations and activities within the DoD and OSD Components:

a. Develop and implement local policy, procedures, and information requirements for TE&PD activities and programs for civilian employees.

b. Consult with leadership on the strategic objectives of the organization or activity, including new mission requirements and business processes, and the TE&PD activities and programs necessary to accomplish those objectives.

c. Identify organizational change initiatives and develop and implement change management plans to facilitate organizational development.

d. Collaborate with FCMs in the DoD and OSD Components on TE&PD issues related to civilian strategic human capital planning, as described in Reference (k).

e. Assist supervisors of civilian employees with competency gap assessments and advise them on strategies to close identified competency gaps.

f. Advise supervisors and their civilian employees on preparing IDPs and EDPs, in conjunction with performance assistance plans.

g. Advocate for identifying and fulfilling needs for developing the civilian workforce at multiple levels, including employee, occupational, functional, and organization- or activity-wide levels, and assist leadership with developing TE&PD plans and programs based on the identified requirements, available resources, and mission priorities.

h. Assist with planning, programming, budgeting, operation, evaluation, and improvement of TE&PD activities and programs.

i. Design, implement, and operate a common system for collecting, analyzing, and interpreting cost data, performance metrics, and related trends for TE&PD activities and programs.

j. Use the cost data, performance metrics, and related trends to assist leadership with making investment decisions on TE&PD activities and programs.

k. Assist leadership with reporting the cost data, performance metrics, and related trends relating to TE&PD activities and programs required in Enclosure 5 of this volume.

l. Participate in TE&PD community of interest networks.

13. SUPERVISORS OF CIVILIAN EMPLOYEES. The supervisors of civilian employees within the DoD and OSD Components, with the advice and assistance of HRD strategic advisors or other HRD staff, will:

a. Support TE&PD activities and programs to ensure a productive civilian workforce and maintain the ability to meet changing job requirements of positions, occupations, functions, and organizations or activities under their cognizance.

b. Confer with HRD strategic advisors or other HRD staff regarding the leadership, functional, and technical training needs and the education and professional development needs of the civilian employees under their cognizance, especially in regard to actions needed to identify and close competency gaps.

c. Identify TE&PD needs of individual civilian employees, occupations, functions, and organizations or activities under their cognizance based on current and potential future mission requirements.

d. Document the identified TE&PD needs and appropriate opportunities to meet the needs in IDPs or EDPs for civilian employees under their cognizance.

e. Monitor the execution and evolution of the IDPs and EDPs to ensure civilian employees are provided appropriate opportunities to satisfy the identified TE&PD needs.

f. Develop and discuss overall TE&PD plans for all civilian employees under their cognizance, including occupational, functional, and organizational goals to be achieved.

g. Identify, advocate for, and allocate available resources to accomplish TE&PD goals.

h. Evaluate the effects of TE&PD efforts on meeting occupational, functional, and organizational goals and improving mission performance.

i. Adjust IDPs and EDPs and overall TE&PD plans based on evaluations of TE&PD outcomes. The IDPs and EDPs are living documents. Supervisors should assess each IDP and EDP at least annually, if practical. Supervisors should review IDPs and EDPs in conjunction with performance assistance plans.

j. Review, discuss with employees, and approve all aspects of their TE&PD plans.

14. CIVILIAN EMPLOYEES. Civilian employees within the DoD and OSD Components with the advice and assistance of HRD strategic advisors or other HRD staff as appropriate, will:

a. Actively manage their careers and pursue lifelong training, education, and professional development opportunities consistent with their organization's mission and their personal career goals.

b. Be aware of the competencies, certifications, or other qualifications required for the position, occupation, and career field in which they are employed, including administrative, technical, functional, supervisory, managerial, or executive qualifications as appropriate.

c. Use IDPs or EDPs to plan their career goals and objectives, in conjunction with performance assistance plans.

d. Collaborate with their supervisors in assessing competencies, identifying and closing competency gaps, and developing, maintaining, and enhancing their competencies, knowledge, skills, and abilities in alignment with organizational TE&PD plans and goals.

e. Be responsible for reimbursing the government for costs incurred if they do not complete all approved training requirements stipulated in the training curriculum.

f. Satisfy all continued service agreements (CSA) stemming from TE&PD. Employees who do not complete all approved training requirements stipulated in CSAs may be responsible for reimbursing the government for costs incurred.

ENCLOSURE 4

ADMINISTRATION PROCEDURES

1. GENERAL. Supplemental guidance issued by DoD Components to implement the administration procedures in this enclosure must be consistent with the policies, procedures, and information requirements in this volume, other applicable DoD issuances, and other citations herein. Any recommendations for improvements to this enclosure or requests for waivers of the specific provisions of this enclosure must be submitted in accordance with paragraph 6n of Enclosure 2.

2. INFRASTRUCTURE. DoD Components must establish and maintain an infrastructure for administering TE&PD activities. The infrastructure must meet, at a minimum, the following requirements:

a. Use of Standard Form (SF) 182, "Authorization, Agreement, and Certification of Training," or an equivalent electronic system, for documenting trainee information, training course data, costs and billing information, concurrences, approvals, and certification of training completion and evaluation. The SF 182 may be obtained from the DoD Forms Management Program Website: <http://www.dtic.mil/whs/directives/infomgt/forms/eforms/sf0182.pdf>

b. Adherence to the OPM Guide for Collection and Management of Training Information (Reference (bo)) and the OPM Guide to Human Resources Reporting (Reference (bp)). In accordance with section 410.302(d) of Reference (i), DoD Components must maintain regular, internal data monitoring and capturing systems to report training data on a recurring and ad hoc basis for organizational and DoD Component feedback.

(1) Data monitoring and capture should be concise, understandable, and reported to DCPDS, to the extent that employee records are maintained in DCPDS.

(a) Periodic and ad hoc reports should be made to DoD stakeholders and other governmental stakeholders in a timely manner.

(b) TE&PD data analysis showing trends that positively or adversely affect the organizational mission should be scrutinized and findings reported appropriately.

(c) TE&PD data must be integrated with other performance data to gain a broader perspective of contributions of training to human resources and general business strategies supporting overall mission success.

(2) TE&PD data must be maintained to meet all records requirements outlined in section 410.701 of Reference (i). DoD Components may maintain TE&PD data on automated learning management systems and report data to OPM through DCPDS, in accordance with References (bo) and (bp). DoD Components must maintain, at a minimum, the following records:

- (a) TE&PD plans (e.g., occupational, functional, and organizational development).
 - (b) TE&PD expenditures, including travel, tuition, fees, and other expenses.
 - (c) TE&PD events and activities, mandatory TE&PD activities, and participants of TE&PD activities.
 - (d) TE&PD activities for presidential appointees, including name and position of official, description of the activities, location, vendor, cost, duration, justification, and application of the activities to term of office.
 - (e) TE&PD activities (e.g., internships, independent studies, special course projects) for academic degree programs, including names of employees assigned, kind of activities, field of study, nature of degree, and CSA, if required.
 - (f) TE&PD activities for promotion or for placement in another DoD Component or federal agency.
 - (g) Employees subject to a CSA requirement.
 - (h) Awards, contributions, and payments from non-federal sources, including recipient's name, the organization's name, amount and nature of the award, contribution, or payment, and a copy of the specific written authorization to accept the award, contribution, or payment.
 - (i) Mobility agreements, including IPA agreements.
- c. Input of all instances of completed civilian employee TE&PD activities to DCPDS, in accordance with Reference (ak).
- d. Implementation of a TE&PD data tracking system, such as a learning management system or an enterprise resource planning system, that is capable of reporting the data elements required by DCPDS and OPM, when such a system is beneficial to the DoD Component for program promotion, tracking, and reporting, and compliance with reporting requirements. DoD Components are encouraged to share TE&PD data tracking systems when practicable to achieve economies of scale.
- e. Support of functional communities, as specified in Reference (k), to facilitate competency identification and competency gap closure analysis.
- f. Development and implementation of a DoD Component TE&PD communications plan, including references to DoD-wide sources of information.

3. APPROVAL OF TE&PD ACTIVITIES

a. Basis for Approval. DoD Components must base approval of TE&PD activities for civilian employees on their IDPs or EDPs. These documents must be created and updated by the Component TE&PD needs assessment and fulfillment process established in accordance with paragraph 6c of Enclosure 2. and ensure consistency with the principals outlined in paragraph 3i of this volume. These documents should describe employee TE&PD needs and appropriate opportunities, including assignments to achieve organizational goals and individual career growth.

(1) IDPs and EDPs should be prepared through collaboration of employees and their supervisors. These plans should identify specific needs for new or refined competencies, continuing education, professional development, and organizational, functional, or occupational training required to improve employee performance. These plans complement performance assistance plans, which focus on giving employees formal training, on-the-job training, counseling, mentoring, and other assistance, as codified in section 9902 of Reference (h).

(2) The IDP or EDP should focus on targeted proficiency levels for each competency, given placement of the employee's position in relation to Reference (ag). There should be a relationship between the competencies, knowledge, skills, and abilities that the TE&PD activities are intended to provide and the employee's assigned duties. Priorities for funding should be aligned with priorities in the organization's training plans.

(3) Organizations may assign their employees to TE&PD activities required for current or anticipated duties related to the mission of the DoD Component or the DoD in accordance with section 635 of Public Law 106-58 (Reference (bq)).

(4) The IDPs and EDPs aid in organizational budget development and provide input to DoD Component budget requirements.

(5) In emergency situations, training that has not been included in an IDP or EDP may be approved. DoD Components must specify the circumstances that would constitute an emergency exception and establish appropriate approval processes.

b. Advance Approval. TE&PD activities require advance approval by appropriate supervisory and management officials with approval authority. DoD Components' internal procedures will require TE&PD activity approval prior to attendance and will establish criteria and procedures, as appropriate, for when such activities may be approved after attendance has begun when required for mission-critical support.

c. SF 182. DoD Components must use the SF 182, or an approved electronic equivalent, to document trainee information, training course data, costs and billing information, concurrences, approvals, and certification of training completion. Evaluation of TE&PD services for civilian employees obtained from Federal Government or non-government facilities, in accordance with the guidance on procurement of training in Enclosure 3 of this volume, will also be documented there.

d. TE&PD Requests by Presidential Appointees

(1) The authority to approve TE&PD activities for Presidential appointees and certify compliance with chapter 41 of Reference (h) and section 410.302 of Reference (i) resides with the Secretary of Defense. This authority may not be delegated.

(2) Presidential appointees must forward requests for TE&PD activities to the DASD(CPP) for review, endorsement, and recommendation to the Secretary of Defense.

e. Eligibility for TE&PD Activities. DoD Components may provide TE&PD activities for their own employees and:

(1) Civilian employees of other DoD organizations and federal agencies when this will result in better training, improved service, or savings to the government, in accordance with section 302 of Reference (h).

(2) Military personnel, when TE&PD activities relate directly to their current duty assignments as federal personnel not covered by the training law and when any costs incurred are funded from appropriate military accounts, unless otherwise provided in TE&PD programs of the DoD Components in accordance with law, including section 1535 of Title 31, U.S.C. (Reference (br)), applicable regulations, and DoD policy.

(3) Non-federal government employees in accordance with the OPM guidance in Reference (z), including:

(a) Employees of contractors to DoD Components, on the Component or subordinate organization rules, practices, procedures, or systems that are unique to the organization of that Component and essential to the performance of their assigned duties, as specified in the terms of the contract and subject to approval of the contracting officer in accordance with References (q) and (r).

(b) Employees of State, local, and Indian tribal governments, institutions of higher education, federally funded research and development centers, and other eligible institutions who are on IPA Mobility Program assignments or other temporary assignments to the DoD for developmental purposes, in accordance with section 4742 of Title 42, U.S.C. (Reference (bs)).

(c) Employees of friendly countries, international organizations, the American Red Cross, and eligible voluntary nonprofit relief agencies on a reimbursable basis, in accordance with section 2357(a) of Title 22, U.S.C. (Reference (bt)).

(d) Private citizens, if attendance is incidental to necessary and authorized training of government employees and the tuition fee is deposited into the U.S. Treasury as miscellaneous receipts in accordance with section 3302(b) of Reference (br).

(e) Volunteers, if trained in rules, practices, procedures, or systems that are unique to their assigned DoD Components and essential to conducting their assigned responsibilities.

f. Sources of TE&PD Activities. In accordance with sections 302, 4101, 4103(a), 4104, and 4105 of Reference (h), section 1535 of Reference (br), and sections 410.301 through 410.305 of Reference (i):

(1) Employee Self-Development. DoD Components must foster continuous employee self-development by creating a work environment in which self-development is encouraged, by assuring that opportunities for training and self-study materials are reasonably available where the employee is stationed, and by recognizing self-initiated improvement in performance.

(2) DoD Component Facilities. DoD Components must establish and make full use of Component TE&PD facilities and programs in accordance with this volume, as practicable. Component TE&PD facilities must be in compliance with the Architectural Barriers Act Accessibility Standards for Department of Defense Facilities (Reference (bu)). Establishment and use of cross-Component facilities and programs is required whenever such collaboration would result in more effective and efficient resource utilization.

(3) Other DoD and Federal Government Facilities. DoD Components must extend Component TE&PD facilities and programs to the employees of other DoD Components and other federal agencies and use interagency facilities and programs whenever this will result in better training, improved service, or savings to the U.S. Government.

(a) DoD Components may establish interagency training facilities in areas of substantive competence in accordance with this volume.

(b) DoD cross-Component and interagency TE&PD services may be provided or acquired on a non-reimbursable or reimbursable basis whenever the offering and accepting organizations have services and funds available, the arrangement offers convenience or cost savings not available commercially, and the arrangement is in the best interest of the government.

(c) DoD Components must establish interagency agreements to document TE&PD arrangements and financial transactions among the Components and other federal agencies.

(4) Non-government Facilities. DoD Components may use non-government TE&PD facilities and programs, such as foreign instrumentalities, provided that such use is in compliance with the policies and procedures in this volume. Foreign training providers may be used when special provisions and criteria are met.

(5) Conferences. DoD Components may use a conference as a TE&PD event when it meets the definition of training in the Glossary.

4. CSA. In accordance with section 4108 of Reference (h) and parts 410.309 and 410.310(d) of Reference (i):

a. DoD Components must establish written procedures for CSAs by civilian employees as a condition of employment for attending TE&PD activities or programs (“training”) of substantial duration or cost. These procedures must be consistent with the sample CSA included as a part of SF 182. In this context, the term “agency” is interpreted to mean a DoD Component and not a subordinate organizational element of a DoD Component.

b. A CSA must be used for training in excess of 160 hours; however, DoD Components may determine training at shorter durations or high cost to be appropriate to require CSAs.

c. If the employee received salary covering the training period, or received academic training in accordance with sections 6 or 7 of Enclosure 3 of this volume, the CSA must provide for continued service in the DoD Component after training for at least three times the length of the training period. DoD Components may establish longer minimums as appropriate. If academic training has been received, the continued service may begin on the day after all requirements for the degree, certificate, or course have been met.

d. If the employee received no salary covering the training period, the CSA must provide for continued service in the DoD Component after training for a period equal to at least the length of the training, but in no case less than 1 month. DoD Components may establish longer minimums as appropriate.

e. The length of a part-time training period is the number of hours spent in class or with the instructor. The length of a full-time training period is 8 hours for each day of training, up to a maximum of 40 hours a week. For an academic degree, certificate, or course authorized and approved in accordance with sections 6 or 7 of Enclosure 3 of this volume, length of the training period must be based on the number of contact hours established by the academic institution, as defined in the Glossary.

f. A CSA must be signed by the nominee for training prior to the commencement of training for which the DoD Component approves payment of training costs. DoD Components may not require an employee to sign a CSA after the training commences.

g. A CSA must include provisions for an employee to reimburse the DoD Component for training costs, except pay or other compensation, if the employee voluntarily separates from federal service before completing the agreed period of service or is involuntarily separated for cause or poor performance before completing the agreed period of service.

h. A CSA must provide for reimbursement of training costs, except pay or other compensation, in instances when an employee voluntarily leaves the DoD Component for service in another DoD Component or other organization in any branch of the federal government before completing the agreed upon period of service.

(1) A CSA should require employees to provide at least 10 working days of written notice of transfer to allow the DoD Component to determine recoverable costs.

(2) DoD Components may transfer the service obligation to the gaining DoD Component or other organization in the federal government, or may waive any part of an employee's obligation to pay training expenses, when transfer or waiver is deemed in the best interest of the government, or when recovery would be contrary to equity and good conscience or the public interest.

i. DoD Components must establish procedures to enable an employee to obtain a timely reconsideration of the recovery amount, an appeal for a transfer of the service obligation, or an appeal for a full or partial waiver of the right of the DoD Component to recover training costs.

j. DoD Components must establish procedures to protect government interests when an employee fails to complete or complete successfully approved training when the Component pays for that training.

5. AUTHORIZED TE&PD EXPENSES AND PAYMENTS

a. Budget. DoD Components must budget for future year TE&PD costs and allocate funds within their annual budgets to meet planned civilian TE&PD costs.

b. Approval. Only officials with budget authority may approve the use of appropriated funds or funds otherwise available to the DoD Components to pay for civilian TE&PD costs.

c. Payment. Payment may be authorized for TE&PD activities and programs contributing to mission accomplishment and performance goals. Payments may be made before or on completion of TE&PD activities. Employees may share costs of TE&PD activities. All financial arrangements must be understood, authorized in advance, and agreed in writing or by electronic means among the receiving employee, the supervisor of that employee, and the person within the DoD Component authorized to commit government funds. Only authorized employees may commit or obligate use of government funds.

d. Authorized Expenses. DoD Components must determine the TE&PD expenses that may be considered for funding support. In accordance with section 4109 of Reference (h) and Reference (i), expenses of TE&PD activities and programs for which full or partial payment may be authorized are:

(1) Salary and benefits while attending programs, except overtime, holiday, or night differential pay, in accordance with the OPM guidance on pay for employees in approved training status in Reference (z).

(2) Per diem, transportation, and travel costs not to exceed rates specified in Volume 2 of the Joint Travel Regulations (Reference (bv)).

(3) Fees, services, and facilities as authorized in Reference (z), including catering expenses, meals and refreshments; examinations, licenses, and certifications; library and

laboratory services; lodging and meals at place of duty; purchase or rental of books, materials, and supplies; meals of outside speakers; and registration, tuition, and matriculation fees.

e. Payment for TE&PD Services Scheduled in the Next Fiscal Year. Costs are charged to the fiscal year in which the service is incurred, in accordance with section 1502(a) of Reference (br).

(1) Current fiscal year funds may be used to pay for services that occur in the next fiscal year only when conditions described in Reference (br) are met.

(2) Specifically, an agency may charge a previous fiscal year appropriation for the entire cost of a training course scheduled to begin in the next fiscal year when the course meets a bona fide need of the prior fiscal year, scheduling of the course is beyond the agency's control, and the time between procurement and performance is not excessive.

(3) DoD Components must establish internal procedures to support this guidance given the types of appropriated funds used for TE&PD activities.

f. Extended TE&PD Assignments. DoD Components must establish procedures for employees to apply for extended temporary duty assignments to TE&PD activities of more than 30 days. Payments may cover all or part of the expenses of TE&PD activities. Per diem rates can be paid at a full or reduced rate or, if relocation costs the government less, limited relocation expenses can be paid, including transportation of the immediate family, household goods, and personal effects, in accordance with Reference (bv).

g. Performance Appraisals While on a TE&PD Assignment. DoD Components must establish procedures that address the impact of employee TE&PD activities on performance appraisals. For example, Components must determine how a long-term development-related event (e.g., attendance at a professional military education institution or rotational assignment) is factored into the performance appraisal for purposes of performance ratings and payouts. Supervisors and HRD strategic advisors should consult with human capital officers to ensure consistent and merit principles-based application of long-term development on employee performance evaluations.

h. Prohibited Practices

(1) Premium Pay. Premium pay to an employee engaged in TE&PD activities is prohibited, except as provided by section 410.402 of Reference (i).

(2) Concurrent Benefits. An employee who is attending a course of training, education, or professional development paid for by a DoD Component may not receive another financial benefit from another source for the same course, that combined, exceed the actual cost.

(3) Academic Institutions. Academic institutions that prevent Senior Reserve Officer Training Corps access or military recruiting on campuses are ineligible to receive federal funds, except as provided by section 983(c) or section 983(d)(2) of Reference (u).

(4) Individual Memberships. An employee may not be reimbursed for the cost of individual membership fees or dues in a professional organization in accordance with section 5946 of Reference (h), except as authorized in accordance with section 4109 or section 4110 of Reference (h). The OPM guidance on membership in professional organizations in Reference (z) provides details.

(5) Activities Offensive to Employees. In accordance with Reference (bq), appropriated funds may not be used for a TE&PD activity that is offensive to employees and unnecessary in the execution of current or anticipated duties.

(a) The restrictions apply to TE&PD activities that could induce high levels of emotional response or psychological stress; do not require prior employee notification of the content and methods to be used in the activity and written end-of-course evaluations; contain any methods or content associated with religious or quasi-religious belief systems or “new age” belief systems; or is offensive to, or designed to change, participants’ personal values or lifestyle outside the workplace. Section 12 of the Equal Employment Opportunity Commission Compliance Manual (Reference (bw)) provides guidance.

(b) In addition, training on the human immunodeficiency virus (HIV) or acquired immune deficiency syndrome (AIDS) may not be made mandatory, except for HIV/AIDS training necessary to protect the health and safety of the employee and the individuals served by the employee, in accordance with section 9 of Public Law 104-146 (Reference (bx)).

(c) These restrictions are not intended to prohibit, restrict, or otherwise preclude DoD Components from conducting TE&PD activities bearing directly upon the performance of official duties.

i. Acceptance of Contributions, Awards, and Other Payments From Non-federal Sources

(1) In accordance with section 410.502(a) of Reference (i) the DoD Component heads may authorize in writing an employee to accept a contribution, award (in cash or in kind), or payment of expenses incident to attendance at TE&PD activities or meetings (e.g., for tuition, travel, subsistence, lodging, supplies) from a non-federal source if:

(a) Conditions in section 4111 of Reference (h) are met.

(b) Contribution, award, or payment is not a reward for services to the organization prior to attendance at the training, education, or professional development activity or meeting.

(c) Acceptance of the contribution, award, or payment would not reflect unfavorably on an employee’s ability to carry out official duties in a fair and objective manner; would not compromise honesty and integrity of government programs or employees and their official actions or decisions; would be compatible with applicable ethics laws and regulations; and would otherwise be proper and ethical.

(2) Employees must have specific written authorization from a designated official with delegated authority to accept a contribution, award, or payment from a non-federal source.

(3) Records must be maintained for 5 years for each contribution, award, or payment accepted. They must include: the recipient's name; the organization's name; the amount and nature of the contribution, award, or payment; the purpose for which it is to be used; and a copy of the written authorization.

j. Foreign TE&PD Instrumentalities. The use of foreign TE&PD instrumentalities for DoD employees who are located within the United States requires consultation between the Departments of Defense and State. DCPAS will facilitate the Department of State coordination.

(1) Coordination will confirm the foreign TE&PD facility is eligible to provide services. Eligibility must be determined before use of a TE&PD facility and at least once every 3 years thereafter.

(2) DoD Components must obtain the necessary country clearances associated with foreign travel. Use <https://www.fcg.pentagon.mil/> to process country clearance information.

(3) DoD Component heads will submit written requests for attendance at foreign TE&PD facilities through DCPAS Human Resources Strategic Programs and Advisory Services (HRSP&AS) at least 90 days before the start date of the requested TE&PD activity. For current procedures, contact DCPAS (HRSP&AS) at the common access card-enabled site <https://extranet.apps.cpms.osd.mil/>. Requests must include:

(a) Traveler's name, organization, passport number, passport expiration date, date of birth, place of birth.

(b) Program location.

(c) Program course title.

(d) Dates of travel (to and from country).

(e) Lodging information (to include phone number).

(f) Point of contact in country and phone number.

(g) Any special accommodation requirements.

(4) DoD Components must show the use of foreign TE&PD instrumentalities for DoD employees located in the United States is necessary to support the DoD Component's Strategic Human Capital Plan or other Component goals. Components must show that comparable training, education, or professional development is not available within the United States or that attendance at foreign training, education, or professional development is critical to the DoD mission.

(5) For additional information on foreign training and travel abroad, see DoDD 4500.54E (Reference (by)).

k. Acquiring TE&PD Services From Non-government Sources

(1) DoD Components may use the government-wide Commercial Purchase Card (GPC) or other contracting vehicle in concert with the SF 182 to purchase and pay for TE&PD services. The published DoD Component procedures for these purchases must be developed in accordance with section 13.301 of Reference (r), section 213.301 of Reference (u), and DoD 7000.14-R, (Reference (bz)), and the following provisions must be met:

(a) The price of the TE&PD service does not exceed the micro-purchase threshold as defined in section 2.101 of Reference (r); or

(b) For purchases exceeding the micro-purchase threshold but not exceeding \$25,000 (excluding travel and per diem)

1. The duly appointed GPC cardholder is trained on DoD Component procedures for purchasing TE&PD services using SF 182 or other approved electronic system.

2. The TE&PD event is for a regularly scheduled, off-the-shelf TE&PD service that is available to the general public and priced the same for everyone in the same category, i.e., price per student, course, program, service, or training space.

3. A price comparison is completed to determine price reasonableness, and source selection has been justified and documented.

(2) Any TE&PD services acquisition requiring new design or development or with a price exceeding \$25,000 for a TE&PD event must be acquired under provisions of References (q) and (r) by a warranted contracting officer.

(3) Internal controls must be used to ensure compliance with procedures and accountability for the expenditure of funds.

1. Scheduling TE&PD Activities. DoD Components must schedule training, education, and professional development for employees based on the needs and priorities of the organization. Training may be scheduled during duty or non-duty hours. Employees may receive neither overtime pay nor compensatory time off for the time spent in TE&PD activities. Time spent in TE&PD activities during regular working hours is considered hours of work.

(1) The prohibition on overtime pay does not apply to TE&PD activities defined as hours of work under OPM regulations implementing sections 410.402(b) and 551.104 of Reference (i) (also known and referred to in this volume as “the Fair Labor Standards Act of 1938 (FLSA), as amended.”) For employees subject to FLSA, time spent in TE&PD activities or preparing for

TE&PD activities outside regular working hours will be considered hours of work if DoD Components require the TE&PD activities to:

- (a) Bring performance to a fully successful or equivalent level.
 - (b) Provide knowledge or skills to perform new duties and responsibilities in current position.
- (2) Time spent in TE&PD activities or preparing for TE&PD activities outside regular working hours is not hours of work for employees subject to FLSA if the TE&PD activities:
- (a) Improve the employee's performance above fair, met, or equivalent level; or
 - (b) Provide the employee with competencies, knowledge, skills, or abilities required for reassignment to another position or advancement to a higher grade in another position.
- (3) DoD Components must determine whether an employee is entitled to receive overtime pay for regularly scheduled TE&PD hours under criteria specified in Reference (i).
- (4) For FLSA exempt employees, the schedule for a TE&PD activity takes precedence over the employee's normal work schedule. DoD Components will issue appropriate internal guidance.

m. Agreements to Substitute TE&PD Activities for Required Experience

- (1) As provided in section 410.307(a) (2) of Reference (i), the DoD Component heads may establish training agreements with employees to provide job-related training designed to satisfy all or part of the experience required by OPM or DoD qualification standards. However, training agreements may not substitute for positive education, licensing, certification, or other specific credentialing requirements.
- (2) Training agreements may qualify an employee for another position at an accelerated rate (e.g., intern programs). Competitive selection procedures consistent with merit principles must be followed for agreements that offer promotion potential to employees. Also in accordance with section 300.603(b) of Reference (i), these requirements apply:
- (a) An employee may not receive more than two promotions in any 52-week period solely based on one or more training agreements.
 - (b) OPM approval is required for training agreements that result in consecutive, back-to-back promotions at accelerated rates. DoD Components must submit all requests to DCPAS for forwarding to OPM for approval.

n. Retraining for Placement in Another Position, in Another Agency, or Outside Government

(1) Retraining to address skill imbalances or projected skill shortages should be part of an integrated response to organizational and individual needs. Such retraining should be developed in concert with strategies for outplacement, reassignment, and systems and procedural changes to achieve program goals.

(2) A DoD Component may authorize retraining to equip employees with new knowledge and skills for different occupations or positions:

(a) Within the employing DoD Component, based on organizational need and existing vacancies, consistent with Reference (l).

(b) In another DoD Component or federal agency, if the head of the employing DoD Component determines that training is in the interest of the government, as provided by section 4103(b)(1) of Reference (h).

(c) Within the context of its Career Transition Assistance Plan. Under the authority of section 4109 of Reference (h), a DoD Component may provide training and retraining services for surplus and displaced employees to help them make effective transitions to other employment.

(3) DoD Components may not use appropriated funds to retrain employees for positions outside the government unless specifically authorized by legislation to do so.

ENCLOSURE 5

EVALUATION PROCEDURES

1. GENERAL. Supplemental guidance issued by DoD Components to implement the evaluation procedures in this enclosure must be consistent with the policies, procedures, and information requirements in this volume and its cited authorities in Enclosure 1, as well as other applicable DoD issuances. Any recommendations for improvements to this enclosure or requests for waivers of the specific provisions of this enclosure must be submitted in accordance with paragraph 6o of Enclosure 2.

2. EVALUATION STRATEGY

a. DoD Components must develop evaluation strategies to determine cost-effectiveness of TE&PD programs, in accordance with section 410.601 of Reference (i). Strategies should focus on experience, knowledge, learning, and competencies gained as a result of planned TE&PD interventions. The DoD Components are encouraged to follow a recognized evaluation model (such as those recommended in Reference (z)) to assess the cost-effectiveness of TE&PD programs. If possible, evaluation strategies must:

(1) Identify business goals, performance indicators, and measurement tools that will provide data on TE&PD contributions to performance of the organization, function, occupation, or individual employee.

(2) Integrate TE&PD evaluation data with other organization performance data to identify factors that contribute to or hinder desired performance levels.

(3) Compare cost estimates for different methods of providing TE&PD activities to projected benefits to ensure a valid business case exists before making the TE&PD investments.

(4) Be part of the TE&PD delivery plan to ascertain cost-effectiveness and, when appropriate, to judge the progress of individuals.

(5) Gauge TE&PD participant reaction to and opinions on the methods, topics, coverage, relevance, instruction, effectiveness, and environment of the TE&PD program via end-of-course questionnaires.

(6) Gauge change in participant application of intended learning outcomes after completion of TE&PD activities, assessed against planned TE&PD outcomes. This learning evaluation must provide data on:

(a) Transfer of knowledge, skills, and abilities to the workplace.

(b) Performance improvement as a result of the TE&PD activities.

(c) Return on investment through improved individual and organizational performance, as a result of TE&PD interventions.

b. Comprehensive evaluations must be undertaken on high-priority programs selected by DoD Components that are significant to their corporate goals. Particular focus should be on DoD enterprise and Component mission-critical occupations. Evaluators must determine the scope of study and resources to be expended based on an analysis of the purpose, utility, and feasibility of evaluation, and its perceived value to the Component and DoD.

c. DoD Components may be required to report metrics and measures on completion of federal and DoD mandatory TE&PD programs, Component-specific TE&PD programs, and TE&PD initiatives in support of human capital and other DoD initiatives. DoD Components must use the following metrics, at a minimum, to establish baseline evaluation data and assess the cost-effectiveness of their TE&PD programs:

(1) TE&PD dollars spent on various categories of personnel (as defined by grade level and position) and on what (as defined by program or course titles and TE&PD type) to assess how TE&PD spending patterns meet the needs of DoD Components.

(2) TE&PD dollars spent against strategic needs of the organization to determine alignment of resources with established TE&PD needs.

(3) TE&PD effectiveness in closing identified competency gaps, and to assess validity of TE&PD plans in addressing those competency gaps.

(4) TE&PD dollars spent and program attendance to obtain and retain required credentialing.

(5) TE&PD completion rates, especially for academic degrees, internships, or other lengthy programs with large monetary investments.

(6) TE&PD participant retention rates beyond CSA expiration date, especially for lengthy or costly programs.

(7) TE&PD effectiveness in improving employee performance, as appropriate.

(8) Responses to Federal Human Capital Survey questions related to training, education, and professional development as an indicator of actions the Component should take to improve TE&PD cost-effectiveness.

(9) Demographic and disability metrics of TE&PD participants, so DoD can monitor progress in providing all persons with equal opportunities to participate in a full range of TE&PD activities to achieve their fullest potential, in accordance with References (n) and (o).

GLOSSARY

PART I. ABBREVIATIONS AND ACRONYMS

AIDS	acquired immune deficiency syndrome
ASD(R&FM)	Assistant Secretary of Defense for Readiness and Force Management
CFCM	Component functional community manager
CSA	continued service agreement
CTIP	combatting trafficking in persons
DASD(CPP)	Deputy Assistant Secretary of Defense for Civilian Personnel Policy
DCIPS	Defense Civilian Intelligence Personnel System
DCPAS	Defense Civilian Personnel Advisory Service
DCPDS	Defense Civilian Personnel Data System
DoDD	DoD Directive
DoDHRA	Department of Defense Human Resources Agency
DoDI	DoD Instruction
EDP	executive development plan
E.O.	Executive order
FCM	functional community manager
FLSA	Fair Labor Standards Act
HIV	human immunodeficiency virus
HRD	human resources development
HRSP&AS	Human Resources Strategic Programs and Advisory Services
IA	information assurance
IDP	individual development plan
IPA	Intergovernmental Personnel Act
NSEP	National Security Education Program
NSPD	National Security Professional Development
OPM	U.S. Office of Personnel Management
OPSEC	operations security
SSC	Senior Service College
SF	standard form
SMART	Science, Mathematics, and Research for Transformation
TE&PD	training, education, and professional development
TWI	training with industry

USD(I)	Under Secretary of Defense for Intelligence
USD(P&R)	Under Secretary of Defense for Personnel and Readiness
USSERA	Uniformed Services Employment and Reemployment Rights Act
U.S.C.	United States Code
WHS	Washington Headquarters Services

PART II. DEFINITIONS

These terms and their definitions are for the purposes of this volume.

academic degree. A post-secondary education including an associate's, a bachelor's, a master's, or a doctoral degree or a specialist degree resulting in a distinct education (i.e., not a certificate program). Institutions granting this type of degree must meet standards and accreditation criteria from an entity recognized by the U.S. Department of Education. Courses may be classroom-based, Web-based or a hybrid of the two.

accreditation. The voluntary process of evaluating institutions or programs to guarantee acceptable levels of quality, including recognition by the U.S. Secretary of Education.

career development program. Structured plans, processes, and activities directing and supporting the systematic organizational, occupational, and individual growth of employees in designated career fields. It entails a progression through a series of TE&PD programs and assignments involving broader knowledge, improved skills, or greater responsibility.

certificate program. A program established or purchased by an agency to provide structured training or education course(s). A certificate program awards a certificate after a course of study has been completed and does not generally require previous working experience or exhibited skill level for participation. The certificate documents completion of the training or education.

certification. The recognition or credential given to individuals who have met predetermined qualifications set by an agency of government, industry, or a profession.

civilian human capital. Civilian employees at all grade levels in all jobs, occupations, and career fields, including both white collar and blue collar positions, who provide an inventory of skills, experience, knowledge, and capabilities that drives productive labor within an organization's workforce.

community of interest. An approach for developing agreements necessary for meaningful information on a community basis. Communities of interest consist of collaborative groups of users who have a shared vocabulary to exchange information in pursuit of their shared goals, interests, missions, or business processes. This group may include end users, program managers, application developers, subject matter experts, Combatant Command, Service, and agency representatives, and information technology portfolio representatives.

competencies. An observable, measurable pattern of knowledge, skills, abilities, behaviors, and other characteristics that an individual needs to perform work roles or occupational functions successfully.

contact hours. The number of academic credit hours assigned to the course(s) times the number of weeks in a term times the number of terms required to complete the course(s), certificate, or degree.

CSA. A contract between the employee and the DoD Component, signed prior to beginning TE&PD activities, requiring the employee to either continue federal service as determined by the DoD Component or repay the TE&PD expenses incurred.

development. Engagement in a set of learning experiences designed to achieve specific goals and long-term objectives. Learning experiences often occur in the workplace, and include coaching, mentoring, job rotation, developmental assignments, on-the-job training, and self-study courses.

DoD sponsored. TE&PD activities approved by the DASD(CPP) as contributing to a strategy of closure of identified competency gaps or that otherwise benefits organizational performance and individual learning.

EDP. A plan tailored to the individual and specific needs of Senior Executive Service members or other executive-level employees.

education. Developing an employee's general knowledge, capabilities, and character through exposure to and learning of theories, concepts, and information. Education is traditionally delivered by an accredited institution and may relate to a current or future mission-related assignment.

HRD. The professional discipline devoted to design, advancement, and implementation of comprehensive strategies to establish a strong employee base. Strategies may include training, education, and professional development programs. HRD helps employees mature their competencies and skills for current and future work assignments.

HRD strategic advisor. An individual who manages and consults on training, education, and professional development programs essential for organizational productivity, individual proficiency, and personal career growth.

IDP. A document used to record short- and long-range career goals, the specific competencies, knowledge, skills, and abilities necessary to meet current objectives, and training, education, and other professional development strategies used to develop the desired competencies. In conjunction with a performance assistance plan, the IDP assists in making employee performance more effective in present or future positions and is used for employees below the executive level.

learning. Cognitive, affective, and/or physical process where a person assimilates information, and temporarily or permanently acquires or improves skills, knowledge, behaviors, and attitudes.

licensing. The process by which a government agency (federal, State, or local) grants permission to an individual to engage in a given occupation upon finding the applicant has attained the minimum degree of competency required to engage in that occupation.

mandatory training. Required for all employees based on statute, regulation, or prescribed policy.

mobility program. A formal program, a part of a DoD Component workforce development strategy, that provides for planned change of permanent duty station of civilian personnel within the same or another DoD Component that may involve relocation without reduction in grade.

occupational (technical) training needs. Professional skills and knowledge that employees in specific occupations must acquire and maintain to perform current and future occupational work needed by the organization.

off-the-shelf services. A commercially available TE&PD event or planned series of the same event, activity, service, or material requiring no modification prior to use. Such training may occur on or off federal property and may include non-federal employees.

organizational TE&PD needs. Broad performance requirements best addressed through a TE&PD intervention leading to maintaining DoD enterprise-wide focus occupations and DoD Component focus occupation competencies, solving problems, effecting changes, and meeting projected goals of the DoD Component.

performance assistance plan. A plan that focuses on providing employees with formal training, on-the-job training, counseling, mentoring, and other assistance needed to develop employees.

professional development. The systematic maintenance, improvement, and broadening of specialized knowledge and skills in a given field of study via formal and informal means.

retraining. Development designed to prepare an individual for a different occupation, address an individual's skills obsolescence in the current position, or to prepare an individual for a different occupation in the same agency, another government agency, or the private sector.

records management. Maintaining adequate and proper documentation of records and electronic records used to conduct government business, which means creating complete and accurate records, planning, controlling, directing, organizing, training, promoting, securing, evaluating, and other managerial activities involved in the overall disposition of records maintenance and use. In addition, records management entails the design of transactions to provide necessary information, to secure legal and financial rights of government, employees, and persons that may be affected by the agency's business activities.

sabbatical. An absence from duty, without charge to pay or leave that may be granted to a Senior Executive Service career appointee to engage in study or uncompensated work experience. In addition, sabbaticals are used to provide a Title 10 faculty member who has completed 6 or more civilian service years of full-time teaching or research at a SSC paid opportunities to engage in significant research or professional development activities, or to develop new areas of expertise, or to conduct scholarly activities of particular benefit to the SSC.

succession planning. A systematic approach to building key position and leadership pipelines to ensure workforce continuity. Succession planning develops potential successors in ways that best fit their strengths, identify the best candidates for categories of positions, and concentrate resources on talent development.

TE&PD event. An organization's total TE&PD requirement for a single specific or recurring TE&PD service. For example, if an organization plans to send 10 people per month for 12 months to a course that is available to the general public and priced the same for everyone in the same category at a price of \$1,000/student, the total price of the TE&PD event is \$120,000; therefore, an educational service agreement as described in section 237.72 of Reference (r) or other similar contracting vehicle must be awarded by a contracting officer to facilitate this ordering agreement.

TE&PD services - Training, education, and professional development services include training or education courses, conventions, conferences, symposiums, meetings, workshops, and other events if the primary reason for the activity is to train or develop civilians to meet mission needs. General supplies and equipment or non-training equipment and service are not TE&PD services.

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

training agreement. A written contract between an employee and the DoD Component. The contract outlines intensive training to satisfy all or part of the experience required by qualification standards, without regard to time-in-grade requirements.