



DEPARTMENT OF THE NAVY
UNITED STATES NAVAL ACADEMY
ANNAPOLIS, MARYLAND 21402

USNA/AACINST 12410.7A
24/EDD
27 November 1989

USNA/AAC INSTRUCTION 12410.7A

From: Superintendent, U.S. Naval Academy/Annapolis Area Coordinator

Subj: CIVILIAN EMPLOYEE TRAINING, EDUCATION AND DEVELOPMENT

Ref: (a) FPM 410 (NOTAL)
(b) CPI 410 (NOTAL)
(c) CPI 430 (NOTAL)
(d) FPM ltr 551-17 (NOTAL)
(e) CPI 412 (NOTAL)
(f) FPM 412 (NOTAL)

Encl: (1) Individual Development Plan (DMF-12410/13)

1. Purpose. To set forth policies and responsibilities for education, training, and career development at the U.S. Naval Academy (USNA) and serviced area activities per references (a) and (b).

2. Cancellation. USNA/AAC Instruction 12410.7.

3. Information. No special markings appear in this instruction because changes are extensive.

4. Applicability. This instruction applies to all activities that receive civilian personnel services from the U.S. Naval Academy Civilian Personnel Department.

5. Policy. The USNA Annapolis area policy is to conduct a continuing education and training program that ensures the development and retention of a highly qualified force of employees and provides a viable career development program for civilian personnel. Under circumstances limited by references (a) and (b), military personnel and other nongovernment employees, e.g., contractors, may participate in training and development activities. The widest latitude in civilian training opportunities will be provided.

6. Objectives. The overall objective of this program is to increase the competence and efficiency of staff personnel. The specific objectives are to:

a. Achieve and maintain a high level of performance,

b. Improve operating efficiency and economy,

c. Plan, establish, and maintain career programs that will attract, develop, and retain personnel of high potential for future positions of supervisory and managerial leadership.

d. Encourage employees in their efforts for self-development and assist them through guidance counseling, in achieving their highest potential usefulness, and

e. Offer equitable opportunities for training to all employees without regard to race, sex, national origin, color, age, religion, handicap, marital status, or other factors unrelated to the need for training.

7. Responsibilities. Overall responsibility for the conduct of the program is delegated as follows:

a. Managers

(1) Select and assign employees for training, education and development activities that will promote efficiency and economy of government operations.

(2) Provide Civilian Personnel Department with feedback on training needs.

b. Supervisors

(1) Accept training, education and development as a necessary and inseparable function of supervision, and use training, education and development as a means of increasing efficiency and effectiveness.

(2) Identify the training needs of employees, provide or recommend training to meet needs. Evaluate and report on training activities in their respective units.

(3) Help employees develop Individual Development Plans (IDPs) based on demonstrated needs, job interests, and career objectives. See enclosure (1).

(4) Keep abreast of local policies and objectives in employee training and development.

(5) Make sure no employee is nominated for training before the completion and approval of the DD Form 1556 by the Head, Training, Education and Development Division (TEDD). (This is to make sure legal and regulatory requirements are met.)

(6) Make sure no employee is nominated for training when there is a personnel action pending which would nullify the benefit of the training, such as retirement, transfer, resignation, or separation.

(7) Make sure training is not used solely as a reward or punishment for good or bad behavior or performance, but per reference (c), identify employee training requirements needed to improve job performance.

(8) Follow merit promotion procedures when training is given primarily to prepare employees for advancement and is required for promotion, such as when an employee is not eligible for promotion unless the training has been completed.

(9) Consult with the TEDD when help is needed.

c. Employee. All employees have an important stake in their own development. While management should provide control, assistance, recognition, and opportunities for improvement and advancement, the responsibility for self-development, physical and mental efforts, and other actions necessary to increase the knowledge and/or skills rests with the individual. Therefore, employees should:

(1) Plan their own career goals and consult or counsel with their immediate supervisor in career planning. Provide complete and accurate information on course or courses wanted, if known, including costs.

(2) Assess their own strengths and weaknesses, abilities, skills, and interests to improve performance.

(3) Take advantage of training opportunities and apply the knowledge, skills, and techniques acquired to the assigned job.

(4) Notify the TEDD of failure to enroll in or to complete the course.

(5) Follow the school's policy for course withdrawal.

(6) Make reimbursement for tuition costs incurred when withdrawing from or failing a course for which assistance was received, unless waived by the sponsoring activity.

(7) Report all training or self-development accomplished to the TEDD where appropriate documentation will be made to the individual's cumulative record of training.

(8) Upon completion of any training, education or self-development course, either at government or nongovernment facilities, forward Copy 9 of the DD Form 1556 and a copy of the grade received if a college course or other evaluation instrument to the TEDD, via his/her chain of command.

d. Director, Civilian Personnel Department. Through the TEDD, represent the Superintendent, USNA, in matters pertaining to the training, education and development of civilian personnel:

(1) Plan, establish, and administer all training, education and development programs necessary to maintain a capable and qualified work force to meet the mission.

(2) Work with and through key management officials to promote a clear understanding of the policy and objectives of employee development.

(3) Keep abreast of current trends and developments in the training field for possible application to the activity's program.

(4) Initiate contact with cooperating colleges, universities, and other training facilities in matters relating to curriculum, schedules, and registrations.

(5) Initiate payment for any publicly available, off-the-shelf training course or program which costs \$25,000 or less.

(6) Coordinate contracting and payment for training courses/programs in excess of \$25,000 with the Contracting Officer, Supply Department.

(7) Initiate all nominations for training through government and nongovernment training facilities.

(8) Publicize training, education and development courses and programs.

(9) Assist employees and supervisors in development of Individual Development Plans (enclosure (1)).

(10) Maintain up-to-date training records.

(11) Review DD Form 1556 for completeness and applicability to the employee's current or anticipated position. Sign and process DD Forms 1556 that are legally and administratively correct.

3. Types of Training. Training includes formal or informal learning experiences aimed at acquiring skills, knowledge, and abilities to improve or maintain current employee performance of official duties, tasks, and responsibilities. There are three basic types of training.

a. Self-development. Self-development is attended or correspondence course work, reading material, cassette program, or any other developmental activity taken on the employee's own time. All employees are encouraged to participate in these courses. They may be used for refresher purposes or to increase knowledge in fields presently engaged, or duties. Supervisors may encourage completion of job-related correspondence courses on government time and in group study.

b. On-The-Job Training (OJT). The most frequently used method of individualized learning is OJT. In this situation the learners are counseled and coached while they work. In an OJT program there should be a regular sequence of tasks to perform.

The learners should not proceed to more complicated tasks until they have mastered the simpler ones. OJT is suitable not only for new employees but also for those who are more experienced. It can be used to teach employees new procedures, tasks, and technology. OJT is usually under the direction of a supervisor and only infrequently is a trainer used.

c. Formal Training. Formal training is any training that is conducted in a group setting and that is eight hours or more in duration. The methodology in formal training may involve lectures, role playing, case studies, small group activities, workshops, seminars, and any other instructor-managed courses that have specific learning objectives. Formal training is available through government and non government institutions. Formal training should be used to supplement self-development and OJT.

d. Training can be delivered by any one or combination of the following methods.

- (1) Formal (or classroom) training.
- (2) Conferences, meetings, seminars, and/or workshops.
- (3) Correspondence courses and self-study (independent) materials including computer based learning.
- (4) Periodical subscriptions and other reading materials.
- (5) On-the-job training.

9. Training Priorities. Reference (b) establishes the following priorities in training:

a. Priority One - Essential: Essential to mission accomplishment this year; training needed to ensure attainment of performance objectives or to correct serious performance deficiencies; and training required by law, regulation, or higher authority.

b. Priority Two - Needed: Training which might impact adversely on complete and qualitative mission accomplishment during the next two to three fiscal years if omitted.

c. Priority Three - Useful: Training of a broadening nature that might be helpful in enhancing the overall performance levels of employees already considered to be competent.

10. Counseling Employees. A key aspect of systematically planning training needs is the IDP. IDPs are required for all new and advancing managers and supervisors and for all employees in student or career ladder positions. USNA policy is to offer all employees the opportunity to complete an IDP. Performance appraisal time provides an excellent opportunity for the supervisor and employee to jointly develop the plan. Time that is free from interruptions should be set aside for this discussion.

a. The following are some points to consider during the counseling discussion:

- (1) Needs of the organization.
- (2) Needed skills, knowledge, and abilities of the employee.
- (3) Anticipated changes in the nature of the work to be performed.

b. To document plans, complete DMF-12410/13, enclosure (1). Both the supervisor and employee will sign the IDP. The plan will contain the type of training, how the training is to be accomplished and the target dates for completion.

After approval by the responsible officials, working copies should be maintained by the employee and the supervisor. A copy of the IDP should also be sent to the Employee Development Division.

11. Scheduling Training. Whenever possible, training should fall during normal duty hours and the normal workweek. Travel for training over weekends or holidays should also be avoided, if possible. Supervisors should document the reasons when exceptions are necessary. They must also observe the general prohibitions against payment of overtime for training. Overtime and/or compensatory time will not normally be awarded for training that occurs outside normal duty hours, except as required under the provisions of the Fair Labor Standards Act (reference (d)).

12. Supervisory Development

a. Rationale. Management effectiveness and efficiency are directly dependent upon the quality of supervision. Supervisory training is, therefore, essential. This type of training is both a way to prepare the supervisor for the responsibilities imposed by the modern organization and a way to meet the challenge of constant change in management processes and technology. Training should equip supervisors with those skills which enable them to help the organization accomplish its mission and to discharge their responsibilities to the satisfaction of their supervisors and subordinates.

b. Requirements. Supervisory training is required for all newly appointed military and civilian supervisors, including those who are assigned managerial or administrative responsibilities.

(1) Formal training will include the following:

(a) Personnel policy, practices, and procedures (with particular emphasis on Merit Promotion Plans, equal employment opportunity, safety, and labor relations).

(b) Supervisory responsibilities.

(c) Communication processes in management.

(d) Human behavior, motivation, and interpersonal relationships.

(e) Work planning and productivity.

(f) Basic theories of supervision and management.

(g) Concepts of organization.

(h) Techniques for solving problems and making decisions.

(2) Training should take into account the individual needs of each supervisor on a case-by-case basis. A person's previous training and experience must be weighed in determining the need for specific training. Self-development and OJT items, coupled with some formal training, should easily accomplish the supervisory training needs.

13. Managerial Development. Training is to be provided by experienced supervisors and managers. The following areas should be covered as per reference (e):

a. Integration of internal and external program policy issues.

b. Organizational representation and liaison.

- c. Direction and guidance of programs, projects, or policy development.
- d. Acquisition and administration of financial and material resources.
- e. Utilization of human resources.
- f. Review and implementation of results.

14. Pre-Supervisory Development

a. Pre-supervisory development extends training opportunities to interested, full-performance level personnel who do not supervise any employees in their current position. Providing such opportunities can permit USNA to develop a pool of trained personnel who could be selected for supervisory positions with a minimum of additional preparation. In addition, some exposure to supervisory responsibilities before selection may assist individuals in making career choices about pursuing a supervisory path. Reference (f) specifically prohibits nonsupervisory employees from enrolling in Personnel Management for Supervisors or any course that provides some of the qualifications for promotion to a supervisory position and/or whose graduates are to be considered to have significant training for the selection to a supervisory position except as noted in paragraph 14c(3).

b. Examples of the types of training which may be considered pre-supervisory are:

- (1) Counseling on what a supervisory job entails conducted on a one-on-one basis at the worksite.
- (2) Current literature on management and supervision.
- (3) Correspondence courses on supervision and/or management.
- (4) Employee development briefings or courses on the responsibilities of supervisors. Publicity on courses will indicate if attendance is limited to supervisors, nonsupervisors, or both. Enrollment will be on a first-come, first-served basis. Supervisors will be given preference in course enrollment for courses open to both (Example: Work Planning).
- (5) College or commercial courses in supervision and management. CPD will periodically publish in the Weekly Administrative Bulletin (WAB) a list of some locally available courses (Example: BPA 171, Principles of Supervision offered by Anne Arundel Community College).

c. The following restrictions apply per reference (f):

- (1) Pre-supervisory training is open only to full-performance level employees. For example, an employee in a career ladder position (GS 5/7/9) would not be eligible for pre-supervisory training until the GS-9 level had been reached.
- (2) Funding for this type of training, with the exception of courses funded through CPD Training, per paragraph 3d, must be borne by the cost center and must be per references (a) and (b) and within budgetary constraints.
- (3) As stated above, pre-supervisory training should not qualify attendees for promotion to supervisory positions. It is recognized that some training that falls under Priority One or Two may, as a side effect, provide knowledge and skills required for promotion. For that type of training merit staffing procedures apply and training opportunities must be afforded to all qualified employees on a competitive basis.

15. Attendance at meetings sponsored by nonfederal professional, technical, or scientific associations and societies.

a. Policy should encourage attendance at professional meetings sponsored by non federal professional, technical or scientific associations, and societies providing that the purpose and subject of the meeting is related to the primary duties of the employee attending. Attendance at government expense may be approved for any employee whose primary purpose for attendance is one or more of the following:

(1) To acquire information needed in the performance of official duties or which will contribute to improved conduct, supervision, or management of assigned functions.

(2) To provide information concerning the Navy's work or functions to the meeting group in fulfillment of a public interest obligation.

(3) To contribute to the pool of scientific and professional knowledge from which the government draws.

b. Individuals will submit requests for approval of conference attendance by preparing a DD Form 1556 making sure the above guidelines have been met. The DD Form 1556 will be approved by the Cost Center Head concerned and forwarded to the TEDD.

16. Payment of Training Expenses. Tuition assistance for training through non-government facilities may be provided for career, career-conditional employees, and those on excepted appointments when all of the following have been met:

a. Trainee meets the length of service criteria for:

(1) Short courses and part-time college work: one year continuous employment at the activity. Exceptions to this limitation are outlined in FPM 410.5-5b(2).

(2) Long-term postgraduate work for graduates of Cooperative Education Programs: one year current continuous employment at the activity.

b. Significant benefit will be derived by the activity.

c. Training is directly job-related to the performance of current official duties and is for the purpose of increasing the knowledge, proficiency, ability, skills, and qualifications of the employee in the performance of those duties or is to enhance skills, knowledge, and/or abilities useful in performing future assignments (one to three years from the time of training).

d. Training is not available through other government, interagency, local government facility, or on-site university programs.

e. Funds are available.

f. The nongovernment facility does not discriminate because of race, age, sex, handicap, religion, color, or national origin in the admission or in the subsequent treatment of students.

g. Employees scheduled to attend nongovernment training in excess of 80 hours in a single program and for which USNA pays all or part of the nonsalary costs must sign a Continued Service Agreement before the start of training. This agreement requires the employee to remain with the Department of the Navy following completion of the training. Failure to sign the agreement does not relieve the employee from responsibility for continued service.

h. If a student fails to satisfactorily complete a course or receives a grade that is not acceptable for credit by the institution's standards, the student must

satisfactorily complete the same or an equivalent course at his/her own expense before he/she can participate again in an advanced tuition paid course or the student may repay the Navy the tuition costs. If, however, an approved tuition paid course is not completed because of official assignments or travel duties, subject to approval by the Cost Center Head, the foregoing provision may be waived.

17. Funds will not be expended for:

- a. Training for temporary and intermittent employees through nongovernment facilities except when there are critical skill needs to be acquired which will be fully used after training.
- b. Training for contractor personnel unless clearly delineated in the approved contract.
- c. A college degree. However, individual courses that are job-related may be paid for even if a side effect is to move the employee closer to a degree.
- d. Graduation or other non-mandatory fees.
- e. Examination fees, such as the College Level Examination Program (CLEP), college placement, comprehensives, etc., except where required by the institution.
- f. Late fees.
- g. Textbooks, except if the textbook is of some value to and will be retained by the activity.

18. Authority to Approve Training

- a. USNA Supervisors and Cost Center Heads are authorized to approve/disapprove all training requests for their employees, except training outside the United States and long-term training which must be approved by the Naval Civilian Personnel Command, Washington, DC.
- b. Head, Training, Education and Development Division, Civilian Personnel Department, has final approval on all training requests, ensuring that provisions of this instruction and references (a) and (b) are met.

19. Action

- a. Submit all requests for training to the TEDD, Civilian Personnel Department, on Request, Authorization, Agreement, Certification of Training and Reimbursement (DD Form 1556), at least three weeks before beginning or registration date of the course.
- b. Requests for training to be supplied by foreign governments or international organizations must be submitted to the TEDD. After local review, the Civilian Personnel Director will forward the request through the chain of command to the Director, Naval Civilian Personnel command, for approval. Requests will include the following:
 - (1) Completed DD Form 1556.
 - (2) Brief description (including objectives) of the proposed training.
 - (3) Justification for use of the proposed training facility.
 - (4) Date by which approval is required.
- c. Travel and per diem will be authorized on the original DD Form 1556. Training

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requests without travel and per diem will be considered as having zero travel costs. A copy of the approved training request will be attached to the travel orders. Travel orders will not be processed without an approved DD Form 1556.

20. Review. The Civilian Personnel Director will review this instruction annually on its anniversary date and revise it as necessary.

21. Forms. Request, Authorization, Agreement, Certification of Training and Reimbursement (DD Form 1556), is available at Servmart, Supply Department. Individual Development Plan (NDW-USNA-DMF-12410/13) is available from the TEDD, Civilian Personnel Department.


B. A. SPOFFORD
Deputy for Operations

Distribution:
AA
CFD (50)

INDIVIDUAL DEVELOPMENT PLAN	1. NAME OF EMPLOYEE		2. PERIOD COVERED		PAGE	
	FROM	TO	FROM	TO		
INSTRUCTIONS: Prepare original and two white for employee. Yellow for supervisor. Pink for Employee Development Officer. Item 6 should be in the following priorities: 1) Self-Development; 2) On-the-job training; and 3) Formal training. Use additional sheets if necessary.	3. DEPARTMENT/DIVISION		4. POSITION TITLE AND SERIES		5. GRADE	
	6. TYPE OF TRAINING	7. SOURCE OF TRAINING	8. PURPOSE	9. DATE SCHEDULED	10. DATE COMPLETED	11. NO. HOURS
						12. ESTIMATED COST
						Tuition
						Per Diem
						Travel
SIGNATURE OF EMPLOYEE:	DATE SIGNED	SIGNATURE OF SUPERVISOR	DATE SIGNED	APPROVED BY (if applicable)	DATE SIGNED	

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