

## Department of the Interior Departmental Manual

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**Effective Date:** 3/6/08

**Series:** Personnel Management

**Part 370:** Departmental Personnel Program

**Chapter 410:** Human Capital Training and Development

**Originating Office:** Office of Strategic Employee Development

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### 370 DM 410

1.1 **Purpose.** This chapter establishes the policy, procedures and authority for administering training and development within the Department of the Interior (Department or DOI) and provides requirements for aligning workforce planning with training. The primary focus of training and development is to improve individual and organizational performance. Requirements presented in this chapter are consistent with current laws, regulations, and other Departmental policies. Actions taken through the application of policies and procedures in this chapter must comply with the requirements of pertinent civil service laws, rules and regulations, as well as the lawful provisions of applicable collective bargaining agreements for employees in exclusive bargaining units.

1.2 **Authority.** Chapter 41 of Title 5, United States Code; Parts 410 and 412 of Title 5, Code of Federal Regulations; and Public Law 108-411 §§ 201, 203, Workforce Flexibility Act of 2004.

1.3 **Scope.** The policy in this chapter applies to all bureaus and offices of the Department. Employees covered by a collective bargaining agreement may be subject to additional procedures which supplement those described in this chapter. Exceptions from coverage of the provisions of this chapter are indicated in 5 U.S.C. § 4101.

1.4 **Definitions.** Definitions are provided in Appendix A.

1.5 **Policy.** It is the policy of the Department to make learning, education and developmental opportunities available to employees to improve both individual and organizational capabilities. Each principal office or bureau must have learning and education policies and procedures that include organizational needs analyses, training needs assessments, and integration with workforce plans consistent with the policy in this chapter.

1.6 **Covered Employees.** Employees serving in the following appointments are covered by the provisions of this chapter:

- A. Permanent employees in the competitive or excepted service;
- B. Temporary appointments for a period longer than 180 days;

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Replaces 8/95 Section III, HRM Handbook; 9/30/85 FPM-350; 11/18/83 FPM-322

- C. Intergovernmental Personnel Act assignees;
- D. Students hired under programs such as the Student Career Experience Program and Federal career interns; and
- E. Persons from other Federal agencies serving on a detail of 180 days or longer to the Department.

1.7 **Actions Covered.** The following actions are covered by this chapter when taken with respect to a covered employee:

- A. Review of specific competencies required or needed for assignments;
- B. Comparison of current and future competency needs of the office or bureau identified through workforce planning; and
- C. Implementation of an individual development planning process to address competency gaps.

1.8 **Actions Not Covered.** The following actions are not covered by this chapter, except as they are supportive of employee development:

- A. Performance Management (see 370 DM 430); and
- B. Workforce Planning and Succession Management (see 370 DM 312).

1.9 **Responsibilities.**

A. Heads of Bureaus and Offices are responsible for implementing, supporting and communicating information to employees about the Departmental employee development program and establishing any additional roles and responsibilities for supervisors within the office or bureau other than those identified in this policy.

B. Director, Office of Strategic Employee Development is responsible for:

(1) Developing learning approaches that align with the Departmental strategic goals to assure that skill gaps are adequately addressed and that learning experiences are integrated across the Department;

(2) Providing consultation services to senior management in the Department including advice on program goals, issues and trends for consideration in developing Departmental priorities and business goals;

(3) Responding to inquiries about and proposing policy for the development of human capital that is consistent with the Interior Strategic Human Capital Management Plan and applicable legislation and regulations;

(4) Creating partnerships with other organizations to leverage capability and assure currency and validity in development of human capital through projects, research, and needs assessment, including primary Departmental responsibility for coordinating human resources development matters with the Office of Personnel Management; and

(5) Preparing regular training reports as required by the Office of Personnel Management.

C. Employee Development and Training Officers are responsible for:

(1) Setting direction for bureau training and development and developing learning strategies that align with bureau and Departmental strategic goals to assure competency and skill gaps are adequately addressed;

(2) Working with appropriate levels of management to ensure all training and development is aligned with bureau and DOI strategic goals;

(3) Providing advice on appropriate methods and authorities for implementing employee development initiatives;

(4) Working closely with agency managers and supervisors to provide guidance and coaching for performance enhancement and evaluating the outcomes;

(5) Providing consultation services to management in the bureau, including advice on human capital program goals, issues and trends for consideration in developing bureau priorities and business goals;

(6) Providing information to employees to ensure they understand the employee development process; and

(7) Ensuring managers and supervisors are advised on competency-based performance, the role of the Learning Management System in identifying skill and competency gaps, and the role of training and employee development to address those gaps.

D. Supervisors are responsible for:

(1) Engaging each employee in a discussion on building and improving competencies required for current and future work assignments for the employee's position;

(2) Working with each employee to document training and development needs and learning opportunities in the employee's Individual Development Plan (IDP);

(3) Approving, within the limits of available resources, training and other learning opportunities for each employee;

(4) Discussing with each employee the priority learning objectives as they relate to employee performance, establishing a baseline prior to each employee's receipt of training and, discussing with each employee what was learned, how it will be applied on the job; and ensuring that each employee has the opportunity to practice the new skills and behaviors on the job; and

(5) Completing training and learning evaluation surveys to gauge success of the learning.

E. Employees are responsible for:

(1) Participating with their supervisor in developing an IDP;

(2) Understanding the purpose of an IDP and its relationship with the office's or bureau's strategic goals;

(3) Fully participating in learning opportunities and providing feedback to the supervisor on the success of the experience;

(4) Complying with all applicable rules and regulations directly or indirectly related with completing learning events;

(5) Proactively seeking training sources, and requesting relevant training and development activities; and

(6) Applying learning experiences to improve on-the-job performance and, as requested, completing training and learning evaluation surveys to gauge success of the learning.

**1.10 Development of Individual Development Plans.** In order to ensure that the development of employees in the Department reflects the applicable performance goals of both the individual and the office, supervisors are encouraged to approve an IDP for each employee under his or her supervision. An IDP should focus on both short-term performance goals and the longer-term needs of the employee and the organization. Activities should reflect the full range of learning opportunities such as, but not limited to, shadow assignments, professional coaching, structured on-the-job training, formal classroom training, and e-learning. A suggested format for an IDP is provided in Appendix B.

A. Timing. Supervisors should engage in a developmental needs discussion with each of their employees in conjunction with the annual performance plan. This discussion should take place within 60 days of the establishment or renewal of performance standards and during progress reviews.

B. Training and Development Priorities. Employee training and development activities included in an IDP will identify mandatory training, if any, and the priority of those training and development activities necessary for successful performance in the current position.

C. At a minimum, an IDP should include:

- (1) The current performance period;
- (2) Performance goals;
- (3) Competencies targeted for the position;
- (4) Specific training and development objectives for the performance period; and
- (5) Specific developmental and learning activities to increase competencies and meet the identified training and development objectives.

D. Formal Developmental Programs. An IDP is required for developmental programs to appropriately document the progress of each participant and to record completion of these programs. Such programs include the Senior Executive Service Candidate Development Program, individual bureau leadership programs, upward mobility programs and Federal career intern programs.

**1.11 Training Needs Assessment.** Training needs assessments should reflect competency gaps identified in office and bureau workforce and succession plans. The Deputy Chief Human Capital Officer will specify the reporting schedule and process for submitting annual assessments. As specified in Executive Order 11348, each bureau and office must:

A. Conduct an annual review of its employee development program to determine if the program is effectively meeting identified needs at the least possible cost;

B. Conduct periodic reviews of IDPs to determine if individual employee training needs are being met;

C. Conduct research related to training objectives required for program improvement and effectiveness;

D. Plan, deliver, and evaluate training for both short and long-range program needs by occupations, organization, and/or other appropriate groups; and

E. Establish priorities for training, and provide for the use of funds and staff hours in accordance with these priorities.

**1.12 Learning Management System.** The Department will support the Federal e-government initiative by using an enterprise-wide learning management system which allows each bureau and office to manage and deliver competency-based curriculum and development, and

documents the learning activities of each employee. The system centralizes and automates the learning management process across the Department.

**1.13 Supervisory Development.** Refer to the appropriate Departmental policy on supervisory development, Personnel Bulletin 06-04 (412), November 9, 2005. At a minimum, each bureau or office must ensure new probationary and non-probationary supervisors receive training to develop competencies needed for entry-level proficiency and to upgrade skills to maintain supervisory competencies.

**1.14 Mandatory Training.** Mandatory training is identified as critical to the development of employees to carry out the mission of the Department, mandated by statute or required by Departmental policy, and must be completed within the required timeframes. The Deputy Chief Human Capital Officer will notify employees of Department-wide mandatory training through periodic Personnel Bulletins and posting information on the Human Capital and DOIU websites.

**1.15 Academic Degree Training.** Federal funds may be used to pay or reimburse employees for the cost of academic degree training at an institution which is accredited by a nationally recognized body. Financial support for such programs must be preplanned rather than *ad hoc*, and must produce measurable improvement in either individual or organizational performance. The training may not be used for the sole purpose of providing an employee an opportunity to obtain an academic degree or to qualify for appointment into a particular position for which the academic degree is a basic requirement.

A. Prior to executing this authority, implementing offices will identify and document how the training contributes to a planned, systematic and coordinated program of professional development and significantly meets an identified agency, administration, or staff office training need that is consistent with DOI's Strategic Plan, solves an identified agency staffing problem, or accomplishes goals in DOI's Strategic Human Capital Management Plan.

B. Employees must sign a continued service agreement, prepare an IDP that includes a complete educational plan for the degree being pursued to include all coursework and approximate timetable required for the degree, and submit an official transcript of final grades within 30 days of course completion. In accordance with the service agreement, the employee will reimburse the bureau or office in the event of withdrawal, non-completion, or less than successful completion of academic degree training. Academic degree training does not create an entitlement or benefit of employment and may be limited or precluded by the availability of funding.

C. Funding, at the approving official's discretion, may include additional expenses necessary to ensure successful participation in an approved course; including supplies and equipment, application fees, registration fees and parking. Electives may be covered only if required for the degree program. The funding is at the Agency's discretion.

D. Competitive procedures for selecting employees for academic degree training must be consistent with the requirements of 5 CFR § 335.103(b)(3).

**1.16 Training for Professional Credentials.** Appropriated funds may be used to pay expenses for employees in any Federal pay system to obtain or maintain professional credentials, including expenses for professional accreditation, state-imposed and professional licenses, professional certification, and examinations to obtain such credentials needed for the position. This authority may be used where it is job-related and beneficial to the development and enhanced job performance of an employee in support of DOI initiatives. Payment for licenses and certifications may include fees to prepare for an examination, fees for the examination, registration fees and per diem costs. At the discretion of the approving official, this may also include expenses incurred for renewals and for the retaking of an examination and/or taking continuing education courses required for license or certificate renewal.

**1.17 Training for Contract Personnel.** In general, contractors are responsible for training their own employees, although DOI may provide contractors with training in procedures specific to a bureau or office. Approval of requests and questions related to the appropriateness of all other training for contractors should be referred to a bureau or office contracting office. This includes training that is offered at no cost, even when there is space available.

**1.18 Foreign-Owned Training Organizations.** In accordance with Federal regulations, the Secretary may contract with a foreign government or international organization to provide training services to agency employees only after receiving advice from the Department of State and, thereafter, periodically, but no less than once every three years. Bureaus or offices should work with their contracting officers on the appropriate contracting procedures. Justifications must clearly show that the training requirement cannot be met by domestically-owned organizations and that the training provides a distinct advantage to the Department.

**1.19 Training for Members of Volunteer and Partner Organizations.** Members of volunteer and partner organizations should receive appropriate orientation and training to perform the basic functions of their assignments when working for bureaus or offices.

A. Volunteers are authorized to attend DOI-sponsored training that enhances their ability to accomplish the Department's mission. Appropriated funds may be used to pay for their training, subject to availability and approval by the bureau, office, or program organization which is supported by the volunteers.

B. Individual private citizens who are in a formal partnership or volunteer role with an office within the Agency can be admitted to government training programs as long as the person's attendance is incidental to the necessary and authorized training of Government employees.

C. The Intergovernmental Personnel Act (IPA) of 1970, (Pub. L. No. 91-648 (1970) codified at 5 U.S.C. §§ 3371-3376) authorizes agencies to train state and local government employees and accept reimbursements and payment for training. The IPA also allows agencies, at their discretion, to waive tuition costs for state and local government employees. Organizations must have the statutory authority to accept non-appropriated funds.

D. Specific guidance associated with administration of the Volunteers in the Parks Act of 1969 (16 U.S.C. § 18) can be found in the National Park Service Director's Order and the Federal Property Management Regulations (FPMR) 300-4-9.

#### **1.20 Training Approval and Payment.**

A. Allowable Costs. Bureaus and offices may pay all, some, or none of the expenses of employee training.

B. Advance payment of training expenses may be authorized as long as there is a mechanism to protect the Government's interest, such as reimbursement if the training is not completed or performed at a satisfactory level.

C. Payments for training expenses in addition to the cost of admission and per diem not related to an employee's pay, such as fees, service charges, and facilities charges may be paid in some circumstances. For guidance on specific reimbursements, bureaus and offices should consult their contracting office.

#### **1.21 Work Schedules.**

A. Attendance at training for which the bureau or office pays in whole or in part is considered a work assignment subject to existing work policies.

B. Compensatory time off must be credited in accordance with Section 203 of the Workforce Flexibility Act of 2004 for covered employees who perform officially authorized travel, unless the travel time is otherwise compensable. For additional information on this provision, bureaus and offices should refer to the appropriate Departmental policy and consult with their servicing human resources office.

#### **1.22 Records.**

A. Bureaus and offices must maintain employee training records in a manner consistent with the requirements of the Privacy Act and other agency records management policies. Such records must be available to the employee. Upon completion of a training transaction, the training data must be available to the Department for transmittal to the Office of Personnel Management, according to the Office of Personnel Management Human Resources Reporting Guide. For each incident of training, the data elements prescribed by the Office of Personnel Management should be captured and maintained in the specified format and must be accessible to employees and officials with oversight responsibilities.

B. Bureaus and offices must submit an annual training summary to the Chief Human Capital Officer of the Department in accordance with the Office of Personnel Management's regulations. Any data maintained in an automated learning management system will be batched and sent to the Office of Personnel Management from the Department.

C. Training needs assessments should be documented and maintained in the bureau or office for a minimum of five years or until the next assessment is completed.

D. Supervisors and employees should maintain a copy of an employee's IDP during the performance year.

E. Evaluations of learning events must be maintained by the bureau or office in accordance with the general records schedule published by the National Archives and Records Administration.

F. The recommended model for evaluating employee development combines the work of Kirkpatrick's Four-Level Model and Phillips Return on Investment Model. The combined model includes up to five levels of evaluation. The following defines the expected evaluation for all formal course offerings sponsored by Departmental bureaus or offices by Level\*:

Level 1	100%
Level 2	60%
Level 3	30%
Level 4	10%
Level 5	5% in the third year of the course implementation

\*Appendix C provides further definition of the levels.

## Definitions and Terms of Practice

*Coaching for Performance Enhancement* is a process of helping managers and employees diagnose performance issues and develop the most effective strategies to address performance issues. Training and development is not always the best, most effective (or cost-effective) solution to achieve desired performance outcomes.

*Competency* is an observable, measurable pattern of skills, knowledge, abilities, behaviors and other characteristics that an individual needs to perform work roles or occupational functions successfully and encompass attributes that differentiate performers.

*Continued Service Agreement* is an agreement between the employee and his/her employer in which the employee agrees to continue in the Federal service after the end of the training the employee receives for a period equal to at least three times the length of the training. The length of the training is based on the number of hours of in-pay status during training. The agreement must provide that if the employee voluntarily separates from the Federal service prior to completing the specified time period, he or she is required to repay the direct costs of the training, including travel and per diem expenses paid by the employer. Repayment does not include salary compensation. The head of the bureau or office may approve a written waiver of this repayment requirement in part or in whole if it can be demonstrated and documented to be in the public interest.

*Human Capital Management* is the strategic oversight of the various functions affecting workforce effectiveness, including human resources management, oversight of civil rights and development of employees.

*Human Resources* refers to employees, volunteers and contractors in the workforce.

*Individual Development Plan* is a formal, written agreement between the employee and the supervisor identifying approved training and developmental activities which reflect the current and future skill needs of the employee.

*Learning Event* is any activity or experience which is designed or structured to provide a developmental experience for the employee. Learning events can vary from on-the-job training, details, shadow assignments, and web-based instruction to formal courses in a classroom setting.

*Performance Appraisal Cycle* is the process by which the supervisor and employee establish performance goals and a description of how success will be measured, conduct periodic reviews to assure that the goals are still applicable, and evaluate the success of the employee in reaching the goals. The length of an appraisal cycle can be a maximum of one fiscal year or a required minimum of 90 days.

*Succession Planning* is analyzing the skill needs of the future organization and identifying approaches to recruit and train employees to fill those needs to assure having the right people in the right jobs at the right time.

*Training and Employee Development* is an ongoing process to maintain individual and organizational capability to meet or exceed evolving mission requirements through the application of competencies to workplace responsibilities. It is a long term investment in our most valuable resource, our people, and includes formal and informal training, education, developmental and other learning assignments.

*Workforce Planning* is a comprehensive process that provides managers with a framework for making staffing decisions based on an organization's mission, strategic goals, budgetary resources, and desired workforce competencies. It is getting the right number of people with the right competencies in the right jobs at the right time.

**Terms of Practice.** The following terms are not specifically referenced in the policy but are frequently used in the practice of employee development.

*Competency Level* refers to the different stages of mastery in a particular competency from a beginning or entry level where basic qualifications must be met to expert or fully successful where considerable experience and training reflect the employee's ability to handle most challenges of the job.

*Contact Hour* refers to a unit of measure that represents an hour of training received through direct instruction.

*General Competency* refers to a competency that is common to many jobs such as reading or writing.

*Organizational Development* is a system-wide effort applying knowledge of behavior science to planned development and reinforcement of organizational strategies, structures, and processes for improving effectiveness. It is planned change for improving an organization's effectiveness.

*Technical Competency* refers to a competency that is necessary for a specific occupation or cluster of occupations.

*Universal Competency* refers to a general competency that is requisite for all employees, such as communication skills.

## Human Capital Training and Development

## Individual Development Plan

Plan Performance Year \_\_\_\_\_

Employee's Name	Position Title/Grade	Office Phone	Office Fax	Email Address
Current Supervisor's Name	Supervisor's Title	Office Phone	Office Fax	Email Address
Goals for Successful Performance in Current Position	Short-term Career Goals (2-3 years)	Long-term Career Goals (3+ years)		
Developmental Objectives: What do you need to do this year to work towards your goals?	Developmental Activities (training, assignments, projects, details, etc.)	Proposed Dates	Estimated Costs	Date Completed
Notes:		Employee's Signature/Date		
		Supervisor's Signature/Date		

## **Instructions for Completing the Individual Development Plan**

**Employee Development and Career Goals** – the employee and supervisor work together to complete the goals for successful performance in the employee’s current position and the employee’s short- and long-term career goals on the IDP.

**Developmental Objectives** – describe what the employee needs to do this year to work toward his/her goals. Objectives describe what the employee needs to learn or achieve in order to reach his/her goals.

**Discuss the Development Plan with your Employee** – discuss the IDP with the employee and make any necessary modifications. The supervisor and employee should sign and date the plan. This plan should be completed within 60 days from the beginning of the performance year.

**Determine a method of training and a training time frame** – determine what type of training or activity is needed to accomplish the employee’s developmental goals. It could be on-the-job training, a detail, or a formal training course or a combination of methods. Identify the proposed dates for the training or activity in the “Proposed Dates” column. Enter the actual or estimated cost of the activity in the “Estimated Costs” column. This column can be used in preparing your office’s annual budget. Once the training is completed, write the date in the “Date Completed” column.

**Review and Modifications** – the plan should be reviewed at each performance review and modified as situations or needs change.

### Methods of Training:

**On-the-job Training** – this can include coaching by a skilled individual or details into positions that will give the employee the skills and knowledge needed.

**Details** – temporary assignments to another location and/or position to gain specific knowledge and experience.

**Classroom Training** – formal training courses, e.g., from your agency, local universities, commercial vendors.

**Satellite Broadcasts/Computer/Web Based Learning** – a variety of topics available through your agency via satellite broadcasts, software packages, and on-line training.

### **Combined Kirkpatrick's Four-Level Model and Phillips Return on Investment Model**

Level 1: Reaction and Planned Action. This level measures the satisfaction of the participants with the program and helps to capture actions to improve training. Reaction is a crucial factor in adjusting or refining the performance solution. Input from the student on how they will use the information also adds another dimension and indicates the likelihood of transferring and using the new knowledge or skill. All training (100%) sponsored by Departmental bureaus or offices must be evaluated at Level 1.

Level 2: Learning. This level measures the changes in knowledge, skills and attitudes of the students and the extent to which principles, facts, process, procedures, techniques and skills that are presented are learned. The measures must be quantifiable and should indicate how well the new skills or information is understood. This may involve the use of pre and post training assessments. A minimum of 60% of formal course offerings by bureaus must be evaluated each year at Level 2.

Level 3: Application. This level measures the changes in on the job behavior and skills and is typically done 3-6 months after the training has occurred. It is important to collect information which describes how much of the material taught in training relates to the participants job. A minimum of 30% of formal course offerings by bureaus must be evaluated in the second year of course implementation.

Level 4: Impact. This level measures the changes in critical outcomes as identified in the training plan and typically measures the consequences of doing something different as a result of the training program. A minimum of 10% of formal course offerings by bureaus must be evaluated in the second year of course implementation.

Level 5: Return on Investment. This level compares the program benefits to the training costs. At least 5% of bureau training programs with fixed costs must be evaluated at Level 5 in the third year of course implementation.