

PART 2057 - TRAINING

Subpart A - Rural Development Employee Training and Development Program

Table of Contents

<u>Sec.</u>		<u>Page</u>
2057.1	Purpose.	1
2057.2	Policy.	1
2057.3	Legal Authorities.	2
	(a) Regulations.	2
	(b) Executive Order.	2
	(c) Merit principles.	2
	(d) Comptroller General Decisions.	2
2057.4	Definitions.	2
2057.5	Responsibilities.	5
	(a) Under Secretary.	5
	(b) National Training Committee (NTC).	6
	(c) Administrators and State Directors.	6
	(d) Administrator for Operations and Management.	6
	(e) Director, Human Resources.	6
	(f) Director, Human Resources Training Division (HRTD).	6
	(g) Deputy Administrators, Assistant Administrators, Program Directors, Division Directors and equivalent.	6
	(h) Supervisors.	6
	(i) Employees.	7
	(j) National Office/State Training Coordinators (STC) and/or AgLearn Administrators	7
2057.5 - 2057.7	[Reserved]	8
2057.8	Procedures.	8
	(a) Annual Training Plan.	8
	(b) Training delivery methods.	9
	(c) Selection and assignment of employees for training.	9
	(d) Authority to authorize training.	10
	(e) Guidelines to review prior to approval of training.	10
	(f) Allowable expenses for training courses.	11
2057.9	Academic degree training.	12
2057.10	Completion requirements (Certification) for academic training.	12

<u>Sec.</u>		<u>Page</u>
2057.11	Training as hours of work under the Fair Labor Standards Act (FLSA).	12
2057.12	Fiscal year training expenses.	13
2057.13	- 2057.15 [Reserved]	13
2057.16	Procedure for requesting training.	13
2057.17	Continued service agreements.	15
2057.18	Cancellation of, or substitution for, training.	15
	(a) Employee's responsibilities.	15
	(b) Supervisor's responsibilities.	15
2057.19	Individual Development Plan.	16
2057.20	Mandatory training.	17
	(a) Ethics Training.	17
	(b) Computer Security.	17
	(c) Executive, Management, and Supervisory (EMS) Development.	17
2057.21	Retraining.	19
	(a) Tax implications.	19
	(b) Training for placement within Rural Development.	19
	(c) Training for placement in another Government agency.	20
	(d) Training for placement outside Government.	20
2057.22 - 2057.50	Reserved.	20

Part 2057 - TRAINING AND EMPLOYMENT DEVELOPMENT

Subpart A - Rural Development Employee Training and Development Program

§ 2057.1 Purpose.

The purpose of this Instruction is to increase employees' proficiency and potential to provide leadership in managing rural housing, utility and business programs and related support efforts. Our Training and Development Program will provide Rural Development employees opportunities for high-quality learning experiences using a blended approach to training via classroom and e-Learning methodologies.

§ 2057.2 Policy.

(a) Rural Development policy is that all employees have the opportunity to receive appropriate training to enable them to perform their assigned duties in an effective manner. Employees are to be selected for training according to objective criteria and will be considered without discrimination because of race, creed, color, national origin, sex, disability, age, marital status or other factors unrelated to the need for training.

(b) Rural Development policy is to operate a Training and Employee Development Program whereby National Office officials and State Directors are responsible and accountable for the training of their subordinate employees. In carrying out the above training responsibilities, the supervisor (or program manager furnishing the training), with the assistance of the Human Resources Training Division (HRTD), is to provide that training based on best value considering training effectiveness, cost, and other measurements.

(c) Rural Development policy requires that all employees prepare and implement an Individual Development Plan (IDP). The policy also assures that the identification of development needs and selection and scheduling of training and other development activities are consistent with Rural Development missions and goals.

(d) Rural Development policy also mandates compliance with United States Department of Agriculture (USDA) requirements for use of the Agriculture Learning Service (AgLearn). AgLearn is the USDA department-wide learning management system (LMS). All Rural Development employees must use AgLearn for creating, tracking and recording all training.

DISTRIBUTION: WSAL

Personnel
Training

§ 2057.3 Legal Authorities.

Public Law 85-507, 85th Congress, S. 385, July 7, 1958, is the basic statute which authorizes employee training throughout most of the Federal Government. In general, authorities granted by the Government Employees Training Act (GETA) are sufficiently broad and flexible to enable an agency to provide whatever training is necessary to develop the knowledge, skills, and abilities that will best qualify employees for the performance of official duties. Other legal references and citations include the following.

(a) Regulations.

(1) 5 USC Chapter 41. Delegates Presidential authority for training under to the Office of Personnel Management (OPM), codifies the provisions of GETA, and makes available to Federal agencies a management tool for increasing efficiency and effectiveness in Government;

(2) 5 CFR part 410, Training; and

(3) Title 5 CFR 412; Executive, Management, and Supervisory Development.

(b) Executive Order. E. O. 11348 (1967), later amended by E. O. No. 12107 (1978), provides agency heads and United States (U.S.) OPM with additional presidential direction on implementing training law;

(c) Merit principles. Per Title 5 USC 2301(b)(1) and (2) and Equal Employment Opportunity (EEO) considerations such as EEO Commission Notice N-915.022, Policy guidance on "new age" training programs; and

(d) Comptroller General Decisions. Comptroller General Decision 741 (1986), B-233243 (08-03-89) and B-257977 (11-15-95).

§ 2057.4 Definitions.

Academic degree training. Training provided by a college or university that is accredited by a nationally recognized body, that is a regional, national, or international accrediting organization recognized by the U.S. Department of Education.

Agriculture Learning Service. AgLearn is the USDA department-wide LMS. It facilitates tracking of a comprehensive range of information needed to manage

§ 2057.4 (Con.)

employee development effectively. The system manages all aspects of training within each agency as well as across the department. AgLearn allows USDA employees to search for available training, launch online courses, and record completed training. USDA employees and USDA partners can use AgLearn to search, access, enroll in, and record all training opportunities through the Web, anytime, any place. Training opportunities on AgLearn include both online courses as well as instructor-led training. For additional information, please see www.AgLearn.usda.gov.

Annual Training Plan (ATP). The annual nationwide training program approved by the Under Secretary. Generally, the items on the ATP are of such importance to Rural Development that they require management by the National Training Committee (NTC) and ultimately approval by the Under Secretary who also provides funding.

Asynchronous learning. Learning in which interaction between instructors and students occurs intermittently with a time delay. Examples are self-paced courses taken via the Internet or Compact Disc-Read Only Memory (CD-ROM), Questions and Answer (Q&A) or Frequently Asked Questions (FAQ), mentoring, online discussion groups, and e-mail.

Best value. An acquisition concept of achieving the highest degree of quality and efficiency at a reasonable price. While competition is critical to attaining these goals, the best-value provider may not be at the lowest price.

Blended learning. Learning events and products that combine aspects of e-Learning, Web-collaboration like NetMeeting or WebEx, Instructor-Led Training (ILT), and/or paper-based training materials.

Certification. The awarding of a credential acknowledging that an individual has demonstrated proof of a minimum level of knowledge or competence, as defined by a professional standards organization. Professional certification may be used as a screening tool as verification of an individual's knowledge, skills, and abilities.

Delivery. Any method of transferring content to learners, including ILT, Web-based training, CD-ROM, books, and more.

Electronic learning (e-Learning). A wide set of applications and processes, such as Web-based learning, computer-based learning, virtual classrooms, and digital collaboration. It includes the delivery of content via Internet, intranet/extranet, audio- and videotape, satellite broadcast, interactive television, CD-ROM, and more.

Individual Development Plan. The IDP is a schedule or action plan of training and development activities or experiences designed to meet an employee's particular job and career goals. This plan, which may be created via Form RD 2057-13 "Individual Development Plan" or AgLearn, helps establish order, maintain focus, and track progress of the activities outlined for the intent of aiding employees in accomplishing their goals. The employee develops the plan in conjunction with the supervisor and considers the organization's missions and goals.

Instructor-Led Training (ILT). Usually refers to traditional classroom training, in which an instructor teaches a course to a room of learners.

Knowledge, skill, and ability (KSA). The attributes required to perform a job; generally demonstrated through qualifying service, education, or training.

(a) Knowledge. Is a body of information applied directly to the performance of a function;

(b) Skill. - Is an observable competence to perform a learned psychomotor act; and

(c) Ability. Is competence to perform an observable behavior or a behavior that results in an observable product.

Learning Management System (LMS). An LMS is software that automates the administration of training. AgLearn is the LMS for USDA. AgLearn registers users, tracks courses in a catalog, records data from learners, and generates reports for management.

Mentoring. A career development process to match less experienced workers with more experienced colleagues for guidance. Mentoring can occur either through formal programs or informally as required and may be delivered in-person or by using various media.

National Training Committee (NTC). The NTC provides advice and assistance on training policy, requirements and priorities and makes recommendations for the ATP approval by the Under Secretary.

Needs assessment. A needs assessment is the process used to identify and document a gap between the desired and actual organizational or individual human performance, as well as to determine the cause for the performance gap. Needs assessment can also identify potential deficiencies between current and future requirements resulting from changes in mission, organizational structure, leadership development, and equipment (a comparison of "what is"

§ 2057.4 (Con.)

with "what should be"). Training should not be developed or revised unless a needs assessment determines that training is the means to resolve the deficiencies and that the needs analysis shows there is a requirement.

Required training. Per OPM, there are three categories of mandatory training for Federal employees: Ethics; Computer Security; and Executive, Managerial and Supervisory.

Retraining. Retraining is training and other developmental activities that are: (1) provided to an employee to address obsolescent skills in the current position, such as in the area of technology; or (2) designed to equip an individual with the knowledge or skills leading to another agency occupation or position.

Synchronous learning. A real-time, instructor-led online learning event in which all participants log-on at the same time and communicate directly with each other. In this virtual classroom setting, the instructor maintains control of the class, with the ability to "call on" participants.

Technical Competence. Knowledge of and skill in the exercise of, practices required for successful accomplishment of a mission, job, or task.

Training. The process of providing for and making available to an employee and placing or enrolling an employee in a planned, prepared, and coordinated program, course, curriculum, subject, or routine of instruction or education. Training is a process that aims to improve the knowledge, proficiency, ability, and skill of the employee in the performance of official duties and often focuses on business needs. Time-critical business skills and knowledge drive training programs.

§2057.5 Responsibilities.

(a) Under Secretary. Responsible for establishing employee development and training programs as an integral part of Rural Development's overall human resources program. As such, the Under Secretary established a permanent NTC with representatives from each component of Rural Development including State Directors. Appoints the following to serve as voting members of the NTC: Representative of the Under Secretary's Office, Administrators of Housing and Community Facilities, Utilities, Business and Cooperatives Programs, and Operations and Management plus up to five State Directors. Appoints one of the State Directors to serve as Chair.

(b) National Training Committee (NTC). Provides advice and assistance on training policy, requirements and priorities and finalizes the Agency's Annual Training Plan (ATP) for approval by the Under Secretary.. Meets at the pleasure of the Chair.

(c) Administrators and State Directors. Responsible for the overall training and development of subordinate employees. Provides voting members to NTC. Also responsible for maintaining a trained workforce that meets the Agency staffing requirements including the identification of gaps in mission requirements and current employee skill levels. Administrators and State Directors are also responsible for providing personnel to serve as National Office/State Training Coordinators and National Office/State AgLearn Administrators.

(d) Deputy Administrator for Operations and Management. Responsible for the overall training and development program, policies and support for Rural Development employees. Serves as voting member of the NTC.

(e) Director, Human Resources. Responsible for creating and implementing general policy for employee development and training. Serves as ex-officio member of the NTC.

(f) Director, Human Resources Training Division (HRTD). Responsible for developing and recommending Rural Development training and career development policies and operating procedures. Consolidates ATP input from National Office Officials and State Directors for submittal to the NTC. Manages NTC day-to-day activities and serves as NTC Recording Secretary.

(g) Administrators, Deputy Administrators, Assistant Administrators, Program Directors, Division Directors and equivalent. Responsible for:

(1) Preparing annual training plans for areas of responsibility.

(2) Providing adequate training resources to subordinate employees so they can effectively perform their official duties.

(3) Authorizing all training requests and/or delegating this responsibility to another designated management/supervisory official described in §2057.5 of this subpart.

(h) Supervisors. Responsible for:

(1) Providing orientation for new employees.

§ 2057.4(h) (Con.)

(2) Preparing the ATP for area of responsibility including recommending training for subordinate employees. This includes identifying gaps in mission requirements and current employee skill levels. The supervisor must also incorporate IDP results into that organization's ATP.

(3) Providing training opportunities to employees including review and approval of the IDP. The supervisory is also responsible for determining the best value method of providing approved training to meet each identified need.

(i) Employees. Responsible for:

(1) Requesting training via AgLearn and the IDP process.

(2) Completing all training courses in a satisfactory manner.

(3) Providing prompt notification to supervisors and HRTD whenever the employee will be unable to attend or complete a scheduled instructor-led training course.

(j) National Office/State Training Coordinators (STC) and/or AgLearn Administrators. Responsible for the following AgLearn functions: managing and tracking user training needs; creating Learning Events and Scheduled Offerings; running basic reports; and performing maintenance checks to verify state, division, or office data. This is a collateral duty to serve as a liaison among the National Office and/or States, NTC, and HRTD. As the appointing official prefers, a single individual or several may perform these functions. Administrators and State Directors have full control over who serves as Training Coordinators and assignment of these roles and responsibilities. Below is a compilation of duties to consider in assigning this responsibility.

(1) Liaison/Point of Contact. This function may include tasks such as serving as the liaison/point of contact with the NTC and HRTD; approving/disapproving local training requests (SF-182 "Authorization, Agreement and Certification of Training" via AgLearn); maintaining accurate records of training requests, approved/rejected requests, and completed training events; making arrangements for the training such as date, instructors, location, and accommodations; and providing relevant information to participants regarding planned training.

(2) Analysis and Direction. This function may include tasks such as analyzing and evaluating training programs to determine quality,

cost-effectiveness, and whether they meet long-range training needs; assisting in the development of a comprehensive ATP; providing direction for planning, developing, managing, tracking, and reporting for career development and training programs; ensuring recommended training supports goals and objectives of the Rural Development Strategic Plan; providing advice and assistance to managers, supervisors and employees in assessing training needs for their employees and preparing IDPs; establishing consistent protocols for training development and delivery; assisting in identifying training priorities for Rural Development employees to National Office Officials/State Directors.

(3) Developing. This functions may include tasks such as assisting in developing local procedures including administrative notices, handbooks on training matters and other documents; assisting local staffs in providing training particularly relating to problems that surface during management reviews; developing local policies, procedures, and instruction for administering the employee development activities; developing, assisting, and as appropriate, presenting various types of training.

§ 2057.5 - 2057.7 [Reserved]

§ 2057.8 Procedures.

(a) Annual Training Plan. Each supervisor will develop an ATP to address required training for direct report employees for the next fiscal year based on an annual needs assessment. Supervisors will base training needs on programmatic, technical, and organizational requirements that have mission-wide impact. Items for consideration for inclusion on the ATP are of such importance to Rural Development that they require management by the NTC and National Office funding. The ATPs are to include estimated costs for each itemized training event. Where possible, identify training to the employee level.

(1) National Office Officials as well as State Directors will consolidate their individual ATPs and submit them to the NTC for consideration.

(2) Based on input from National Office Officials and State Directors, the NTC shall develop an agency-wide ATP for submittal to the Under Secretary for approval and funding.

§ 2057.8(a) (Con.)

(3) The ATP is a dynamic document; modify it as funding and requirements shift. The goal is to have the plan approved and funded no later than each September for implementation with next fiscal year's funding.

(b) Training delivery methods. AgLearn includes the following types of training delivery methods. Supervisors and the NTC shall use these training delivery methods as they develop ATPs. Supervisors shall also use these methods when developing the organization's ATP and when finalizing the employee's IDP and approving attendance at courses.

(1) e-Learning. Includes self-paced online courses, Web-collaboration like NetMeeting or WebEx, blended learning, synchronous/asynchronous, and others).

(2) Instructor-Led Training (ILT). Includes formal classroom courses as well as On-the-job training (OJT), mentoring, seminars, conferences, training forums. National Office/State Training Coordinators or AgLearn Administrators, as appropriate, will create an AgLearn item to facilitate recording completion of ILT for locally developed events. For commercially available events, document accomplishment of an ILT event via the SF-182 "Authorization, Agreement and Certification of Training".

(3) Blended Learning. Learning events and products that combine aspects of e-Learning, Instructor-Led Training (ILT), and/or paper-based training materials.

(c) Selection and assignment of employees for training.

(1) Rural Development will ensure that eligible employees are given reasonable opportunities to be provided effective education and training in cases in which such education and training would result in better organizational and individual performance.

(2) Selecting officials will follow merit promotion procedures to selecting career or career-conditional employees for training that is primarily to prepare an individual for advancement and/or training that is required for promotion.

(3) Rural Development will ensure that all employees with a physical or mental disability are considered equally in the selection and assignment of employees to attend training.

CFR 29 Section 1614 (1996), covers nondiscrimination procedures that govern federal employment and training for people with disabilities.

(4) Selecting officials will ensure that the IDP is the basis for providing training for employees as discussed below.

(5) An employee assigned to training during normal duties is considered on duty for the period of the training, and no charge is made to leave. Even if the employee pays for the training, no charge is made to leave if the training is approved and authorized to meet a performance improvement need. Employees who take AgLearn courses outside of normal duty hours are not eligible for compensation.

(d) Authority to authorize training. The Under Secretary, Administrators, Deputy Administrators, Assistant Administrators, Program Directors, Division Directors, State Directors, and equivalent positions are responsible for approving employees' attendance, or they may delegate this responsibility as deemed necessary. Such approval constitutes certification of funds availability by the approving authority in accordance with the Financial Management Modernization Initiative (FMMI).

(e) Guidelines to review prior to approval of training. Management and supervisory officials should adhere to the following guidelines prior to approving and/or authorizing any training using Government funds and/or hours of work:

(1) The GETA allows us to fund employee training to assist in achieving mission and performance goals by improving employee and organizational performance.

(2) Title 5 USC Section 4107(b)(2) prohibits training to obtain an academic degree in order to qualify for appointment to a particular position or for the sole purpose of providing an opportunity to an employee to obtain one or more academic degrees.

(3) Title 5 USC does not apply to individuals appointed by the President, unless the individual is specifically designated by the President for training. See Title 5 USC Section 4102.

(4) Follow Rural Development's merit promotion procedures when selecting employees for training that is primarily to prepare

§ 2057.8(e)(4) (Con.)

trainees for advancement and that is not directly related to improving performance in their current positions.

(5) Training should be cost effective. This means the appropriate training program that best meets the Agency's needs at the best value. It does not mean the least expensive.

(6) Employee is a permanent or long-term temporary (over 1 year) employee.

(7) Employee has no immediate (six months or less) retirement plans.

(8) Employee meets course criteria or has an approved waiver to the criteria.

(f) Allowable expenses for training courses. For employees who are approved and authorized to take training courses for official purposes, Rural Development may pay costs of salary, tuition, travel, per diem, books, materials, registration fees, and laboratory fees during the period of training to the extent that funds are available. However, these reimbursements are limited for qualified training situations, as indicated below:

(1) Tuition expenses. Rural Development may pay for all or part of the tuition for approved and authorized training courses.

(2) Travel expenses. Rural Development may reimburse an employee for all or part of the necessary expenses of training, including travel costs. The General Services Administration (GSA) Federal Travel Regulations determine what specific travel costs may be paid.

(3) Limitation of purchase of books and materials. Rural Development may only pay for those books and materials that are required for each course. Costs for any recommended supplemental books and/or materials are the responsibility of the employee.

(4) Other fees. Activity fees and any other optional fees are the responsibility of the employee, unless required, then Rural Development may pay.

(5) Late registration fees. Rural Development will pay late registration fees only in cases in which the late registration fee is the fault of the agency and when the requesting office has followed appropriate procedures.

(6) Prohibited expenditures. Federal law prevents Rural Development from spending Government funds on training that is offensive to Federal employees and unnecessary in the execution of their official duties. See section 101(h) of 1999 Omnibus Consolidated and Emergency Supplemental Appropriations Act (Public Law 105-277) for list of prohibited training ([see OPM Guidance](#)).

§ 2057.9 Academic degree training. Under development.

§ 2057.10 Completion requirements (Certification) for academic training.

Employees must achieve certification by attaining a grade of "C" or higher for academic training if the course is taken for a letter grade. Otherwise, if a course uses a pass/fail basis then the employee must receive a "pass" grade. An employee who fails to complete a course or receives a grade of less than "C" or "fail" shall reimburse Rural Development for the cost of the course, including books and materials, unless their respective Administrator or State Director grants a waiver. In addition, employees must provide a copy of their final grade report to their supervisor upon completion of the course.

§ 2057.11 Training as hours of work under the Fair Labor Standards Act (FLSA).

Time spent in training shall be administered as follows:

(a) Time spent in training during regular working hours shall be considered hours of work.

(b) Time spent in training outside regular working hours shall be considered hours of work if:

(1) The employee is directed to participate in the training by his or her employing agency; and

(2) The purpose of the training is to improve the employee's performance of the duties and responsibilities of his or her current position.

§ 2057.12 Fiscal year training expenses.

(a) Training and development expenses may be charged to the fiscal year appropriation in which the obligation is incurred even if the training extends into the following fiscal year. See Title 31 USC Section 1502(a), 1996.

(b) Consistent with this rule, the Comptroller General states that delivery of goods or performance of services in a fiscal year subsequent to the year in which a contract is executed does not preclude charging the current fiscal year appropriations with the full cost of goods or services. See 65 Comptroller General 741 (1986).

(c) Thus, when a training obligation is incurred and performance begins in one fiscal year, the entire cost is chargeable to the year, even though performance may extend into the following year. Such services are a single undertaking, properly chargeable to the fiscal year in which the training need was determined, the debt incurred, and the performance began. See Comptroller General Decisions B-233243 and B-257977.

(d) Rural Development may charge a current fiscal year appropriation for the entire cost of a training course scheduled to begin in the next fiscal year when:

- (1) The course meets a bona fide need of the current fiscal year;
- (2) Scheduling of the course is beyond Rural Development's control; and
- (3) The time between procurement and performance is not excessive.

(e) Rural Development may obligate fiscal year funds in advance to pay for a two-year training program, such as the Presidential Management Intern program, where the training meets a bona fide need of the fiscal year charged. See Comptroller General B-25977 [11-15-95].

§2057.13 - 2057.15 Reserved

§2057.16 Procedure for requesting training.

(a) All training requests that entail a direct cost must be approved by the immediate supervisor and authorized by those individuals outlined in §2057.5. This procedure is required for both individual training and group training requests. Use the AgLearn Catalog procedure for registration for online courses.

(b) Appropriate supervisors and/or officials must approve and authorize all training requests prior to the start of the training.

(c) Appropriate FMFI and other funding approval transactions must be completed prior to registration including.

(d) It is the responsibility of the employee or the employee's office to contact the training vendor and register the employee after completion of FMFI funding certification.

(e) Training Authorization Request (Standard Form 182, "Authorization, Agreement and Certification of Training").

(1) The SF-182 is not required for enrollment in online courses in the AgLearn catalog.

(2) Rural Development will use the SF-182 to procure and certify payment of training expenses through Government or non-Government facilities whether for individual or group training requirements. The SF-182 or its AgLearn equivalent is authorized for use to contract for training and certify payment of approved training expenses under the following conditions:

(i) The training cost of a single training event, program, or instructional service does not exceed the simplified acquisition process dollar limit established by the General Services Administration;

(ii) The cost is of a fixed nature, i.e., price per student or price per course, program, or service; and

(iii) The program, course, or instructional service is off-the-shelf and no modification or development resulting in increased cost to the Government is needed to meet the organization's needs.

(f) Warranted Contracting Officers in the procurement or Human Resource training offices contract for the training service on behalf of and as requested by, the responsible training or management officials for training services that exceed the Micro Purchase threshold in accordance with the Federal Acquisition Regulation Part 2.101.

(g) The SF-182 is also used for requesting, approving, and certifying payment for attendance at meetings, conferences, seminars, and symposia where the primary purpose is to train an employee to meet a performance improvement related need.

§ 2057.16 (Con.)

(h) Employees may NOT use their Government Travel Charge Cards to pay for such things as training or conference registration, training supplies and textbooks, even if in conjunction with an official trip.

§ 2057.17 Continued service agreements.

Rural Development determines the conditions for requiring employees to agree to continue in service after completing training, e.g., 160 hours or more of Government or non-Government training. An employee selected for training subject to a service agreement must agree in writing with the Government, before assignment to training, to continue in service for a period at least equal to three times the length of the training period. If the employee leaves the Government before the agreed upon amount of service, Rural Development has the right to require repayment for time not served.

§ 2057.18 Cancellation of, or substitution for, training.

If cancellation or substitution becomes necessary, submit a memorandum stating the reason(s) for the desired action and the training forms for a substitute course through the same channels as the original request forms. When time is a factor, telephone the cancellation or substitutions also through the appropriate channels. If the appropriate cancellation/substitution action does not take place, then the original nominee may be responsible for reimbursing Rural Development for the costs incurred.

(a) Employee's responsibilities. Once the employee has begun the training, or has not cancelled it in time to avoid a cost to Rural Development, he/she must submit a memorandum specifying his/her reasons for withdrawing from the course. The memo must go through his/her immediate supervisor, to the authorizing official, for the official's decision regarding possible reimbursement by the employee of funds expended for the training course (not including salary).

(b) Supervisor's responsibilities. The supervisor is ultimately responsible for ensuring that the employee who withdraws from a course notifies the authorizing official, the educational institution (vendor), HRTD and other personnel as required. Make every effort to obtain a substitute. The supervisor should also forward with the employee's memorandum his/her written recommendation on the validity of the employee's request, and indicate whether he/she is of the opinion that reimbursement should be required of the employee.

§ 2057.19 Individual Development Plan (IDP).

(a) The objective of the IDP is to build, encourage and promote the highest level of performance an employee can render and simultaneously provide the employee with a rewarding professional career through continuous personal as well as professional growth and development.

(b) The IDP provides employees, supervisors and managers with a systematic process for effective identification, planning, and scheduling of training and other career development actions. The IDP process is mandatory and applies to all permanent full-time Rural Development employees. Prepare the IDP at the time of the employee's annual performance evaluation, review it semi-annually, and revise or update as necessary. See §2057.5(h) and (i) above for employee and supervisory responsibilities for preparing the IDP. Employees and/or supervisors will use Form RD 2057-13 to access, create and update the IDP. Alternatively, use of the automated IDP process in AgLearn is permissible and encouraged. AgLearn includes three courses to guide you in learning to use the automated IDP process. See [Creating Your Plan](#), [Find Learning for You](#), and [Maintaining Your Plan](#).

(c) An IDP is:

(1) A developmental partnership between the employee and supervisor. IDP preparation involves feedback, clarification, and discussion about developmental needs, goals, and plans. Supervisor-employee communication is vital to the success of the IDP process. The mutual interests and concerns of the individual and Rural Development must be considered in the IDP process.

(2) A vehicle to address the needs of the employee and the needs of Rural Development. The best IDPs begin with a plan to maximize current job performance based on a comparison of skills (Technical Competence) required by the job and present abilities. The IDP activities can assist the individual in meeting both personal and organizational goals for success.

(3) A broadly defined developmental plan which includes on-the-job assignments, self-development activities, AgLearn courses, and formal classroom training.

(d) The general process and procedure to identify individual training and development needs, select development activities, and establish and implement development schedules are as follows:

§ 2057.19(d) (Con.)

- (1) Identify the technical competencies (also know as knowledge, skill, and ability) needed and used by an employee to perform the official duties and responsibilities of the assigned position.
- (2) Assess the degree to which the employee possesses the required technical competencies.
- (3) For each technical competency which needs to be acquired/developed/improved/refreshed/sustained, select the optimum development activity (training or non-training) which will assist the employee in attaining the desired level of expertise.
- (4) Prepare a development schedule. The schedule shall include a list of the selected development activities in order of sequence (by calendar date) for accomplishing each activity.

§ 2057.20 Mandatory training.

There are three categories of mandatory or required training per OPM: Ethics; Computer Security; and Executives, Managers and Supervisors. HRTD will issue an annual announcement with specific instructions on these training requirements.

- (a) Ethics Training. There are three categories of required ethics training as shown below. Title 5 CFR 2638.703 to 705 provides specific details of the required training: Initial agency ethics orientation for all employees, Annual ethics training for public filers (employees required by 5 CFR Part 2634 to file public financial disclosure reports) and Annual ethics training for other employees. Each calendar year, agencies must provide ethics training to its employees.
- (b) Computer Security. Title 5 CFR 930.301 requires the head of each agency to provide initial, continuing, and refresher training at the awareness level, policy level, implementation level and performance level for executives, program and functional managers, information resources managers, security and audit personnel, automated data processing management, operations, and programming staff, and end users.
- (c) Executive, Management, and Supervisory (EMS) Development. Title 5 CFR 412 requires agencies to develop executives, managers, supervisors, and candidates for these positions. This applies to all incumbents and/or candidates for supervisory, managerial, and executive positions in the General Schedule, the Senior Executive Service (SES), or equivalent pay systems that are also covered by 5 CFR Part 410.

(1) Rural Development recognizes that EMS positions are a part of a second profession with competency requirements beyond those of a specialized occupational field.

(2) Throughout Rural Development, effective program delivery requires management excellence and management performance that results in the successful implementation of Agency policies and program initiatives. Achieving and sustaining management excellence requires Rural Development to ensure appropriate levels of expertise among its managerial and supervisory personnel.

(3) Development of EMS personnel provides a systematic process whereby Rural Development EMS employees can master supervisory, management, and executive competencies (KSAs) necessary for performing official duties and responsibilities. This development process includes a methodology for improving Rural Development effectiveness and efficiency and the capability for responding to new and changing demands.

(i) Rural Development provides for the initial and continuing development of individuals in executive, managerial, and supervisory positions, and candidates for those positions.

(ii) Design each employee's EMS development plan with the Rural Development strategic plan in mind.

(iii) There should be initial training as an individual makes the critical transition to becoming a supervisor, a new manager, or a new executive consistent with the results of a needs assessment.

(iv) The development plan should consist of continuing learning experiences, both short-term and long-term, throughout an individual's career in order for the individual to achieve the mastery level of proficiency for his/her current management level and position.

(v) The development plan should allow for systematic development of candidates for advancement to a higher management level.

§ 2057.20(c) (Con.)

(4) Recommended training:

(i) Systematic development of executives, managers and supervisors;

(ii) New supervisors are required to completed the Instructio Lead Training component of the supervisor training program within six months from the date of hire and the online component within 12 months.; and

(iii) Continuing learning experiences, so that the individual may achieve the mastery level of proficiency for his or her current management level and position.

§ 2057.21 Retraining.

Retraining is training or other developmental activities that are provided to an employee to address out-dated skills in the current position, such as in the area of technology. Retraining can also be designed to equip an individual with knowledge and skills leading to another agency occupation or position. In the following, retraining is specific to situations where an employee is preparing for another position at agency expense. For employees affected by downsizing, see Title 5 CFR 330.601 for information on Career Transition Assistance Plans.

(a) Tax implications. Training law requires that appropriated funds and other funds available to an agency be used for training to improve individual and organizational performance and assist in achieving an agency's mission and performance goals, see Titles 5 USC 4101 and 5 USC 4112(a). In situations where agency funds are used to train an employee to perform duties in a new or different mission-related occupation, authorizing officials need to consult with appropriate agency officials to determine if the training has tax implications for the agency and the employee, see Title 26 USC 127 (1997).

(b) Training for placement within Rural Development. Executive Order 11348, as amended, states that the head of each agency shall plan training for both short and long-range program needs by occupations and organizations. This permits agencies to train employees for other occupations based on organizational need and when vacancies exist. However, if new jobs offer more promotion potential to employees, the employees must compete to enter the training programs. These competitive processes must be consistent with merit principles and Equal Employment Opportunity considerations.

(c) Training for placement in another Government agency. Title 5 USC 4103(b)(1) states that an agency may train any employee of the agency for placement in a position in another agency if the head of the employing agency determines that such training is in the interest of the Government.

(d) Training for placement outside Government. The Government Employees Training Act (GETA) only authorizes training expenses for placement within the Federal Government. The Job Training Partnership Act (JTPA), Chapter 19 of Title 29 USC 1501, is the mechanism for retraining out-placed or soon-to-be out-placed employees for jobs in the private sector. The U.S. Department of Labor administers the JTPA, but State Governments use Federal funds to develop and implement these retraining programs. See applicable reduction-in-force regulations in 5 CFR 351.803(a).

2057.22 - 2057.50 Reserved

oOo