

DEPARTMENT OF THE AIR FORCE  
Headquarters US Air Force  
Washington DC 20330

AF REGULATION 40-410

21 October 1983

## Civilian Personnel

## TRAINING AND DEVELOPMENT

This regulation provides basic authority and policy; sets up the objectives, requirements, and assigned responsibilities for the conduct and administration of training and development for appropriated fund civilian employees. It gives guidance for determining needs; validating requirements; financial planning; obtaining resources; and evaluating, documenting, and reporting training. It implements Department of Defense (DOD) Directive 1430.4, Civilian Employee Training; and DOD Instruction 1430.5, Civilian Employee Training Policies and Standards. It gives instruction for gathering and using information that is subject to the Privacy Act of 1974. The collection, use, and disclosure of this information must be done within the guidelines given in AFR 12-35, Air Force Privacy Act Program (PA). This publication applies to all Air Force activities and is used by functional management, civilian personnel offices, and affected civilian employees.

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OPR: MPKS (John F. Kozeletz)

Approved by: Mr. J. Craig Cumbey

Writer-Editor: Novella S. Hill

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## Section A—Authorities and Policy

### 1. Training Authorities:

a. **Legal Basis for Employee Training.** The Government Employees Training Act, 7 July 1968, (Public Law 85-507) now codified into title 5, United States Code (U.S.C.), chapter 41, is the basic statute authorizing federal employee training. The Congress in enacting this law declared it to be the policy of the Congress that "... it is necessary and desirable in the public interest that self-education, self-improvement, and self-training be supplemented and extended by government-sponsored programs for training in the performance of duties and development of skills, knowledges, and abilities which will best qualify employees for performance of official duties."

b. **Executive Order.** Executive Order 11348, 20 April 1967, reaffirmed the policy of developing federal employees through the establishment and operation of progressive and efficient training programs. The executive order provides Presidential direction on the manner in which the general statutory authority is to be used.

2. **Training and Development Policy.** It is Air Force policy to provide the training necessary to ensure the maximum efficiency of civilian employees in the performance of their official duties. Full opportunity to participate in training and development programs will be given to every employee who needs training and meets standards and requirements prescribed by law, executive order, or regulation without regard to race, color, religion, sex, national origin, age, or other factors unrelated to the need for training.

3. **Delegated Authority—Secretary of the Air Force.** The Secretary has been delegated broad authority to:

- a. Conduct internal reviews of training needs.
- b. Establish and administer programs of training through government and nongovernment facilities subject to 5 U.S.C., chapter 41, and Executive Order 11348, and regulations issued by the Office of Personnel Management (OPM) and the DOD.

4. **Delegation of Authority and Responsibility.** The Secretary's authorities and responsibilities are delegated as described in section B. Those delegations can be redelegated only as specifically authorized by Air Force regulations and then only in writing. To avoid repetition, major commands (MAJCOM) also include the separate operating agencies and all direct reporting units.

## Section B—Authorities and Responsibilities

5. **Office of the Secretary of the Air Force (OSAF), Administrative Assistant.** The Administrative Assistant, OSAF is authorized to:

a. Approve with respect to civilian personnel assigned to OSAF:

(1) Requests for payment of expenses at meetings as authorized by title 5 U.S.C., chapter 41, which meets the criteria in Federal Personnel Manual (FPM) chapter 410, subchapter 8.

(2) Requests for the acceptance of any payment of travel, subsistence, and other expenses incident to attendance of meetings as authorized by title 5 U.S.C., chapter 41, and FPM chapter 410, subchapter 7.

b. Submit to OPM requests to designate Presidential appointees for training.

### 6. The Director of Civilian Personnel (HQ USAF/MPK):

a. The Director of Civilian Personnel, HQ USAF is authorized to:

(1) Establish basic training and development policy according to title 5 U.S.C., chapter 41, executive orders, and implementing directives of OPM and DOD.

(2) Request that OPM grant relief from statutory constraints that are essential to the timely accomplishment of training which must be approved by OPM.

(3) Request that DOD designate a foreign government, international organization, or instrumentality of either, as eligible to provide training or development for Air Force civilian employees.

(4) Approve the proposed assignment of each employee stationed within the 50 states, and District of Columbia, to training in nongovernment facilities outside the 50 states.

(5) Designate the Chief, Office of Civilian Personnel Operations (OCPO/MPK) to act for him or her in all matters concerning employee training and development, except for final approval of training and development policy.

b. The Director of Civilian Personnel, HQ USAF is responsible for:

(1) Coordinating financial management requirements, presenting and justifying the civilian training budget, and designating the civilian training program element monitor.

(2) Ensuring, on a continuous basis, that the Air Force short- and long-range training needs have been determined.

(3) Reviewing and approving proposed training agreements (FPM chapter 338).

(4) Reviewing and submitting for Department of Labor approval, proposals for the establishment of apprentice programs.

(5) Establishing nomination and selection procedures to identify participants for Air Force-wide competitive programs.

(6) Reviewing, staffing, and approving of Air Force-wide civilian personnel administration courses. (for example, Air University courses) to ensure current policy is reflected.

c. The Office of Civilian Personnel Operations

(OCPO/MPK). The Chief, Office of Civilian Personnel Operations is responsible to:

(1) Formulate plans of action, administrative controls, and program requirements for the establishment and maintenance of needed employee training and development programs.

(2) Maintain and improve training areas of the Personnel Data System-Civilian (PDS-C). Initiate and staff proposed system changes with HQ USAF/MPK.

(3) Consolidate and validate Air Force civilian training and development requirements by appropriation.

(4) Develop and submit annual civilian training budget request proposal for use by HQ USAF/MPK. Monitor training budget allocation and execution.

(5) Serve as resource manager for centrally managed civilian training funds and course allocations as approved by HQ USAF/MPK.

(6) Screen for requirements, selects (or appoint a committee to select) nominees for Armed Forces College Programs, Career Education Awards, LEGIS-Fellows program and other developmental programs and fellowships for which there is Air Force-wide competition.

(7) Monitor waivers of the specific limitations on the use of nongovernment training, that is:

(a) The number of staff years of training given employees in any fiscal year that does not exceed 1 percent of the total staff years of civilian employment.

(b) The eligibility of employees having less than 1 year of current continuous service for training in nongovernment facilities.

(c) The maximum amount of time spent by an employee through nongovernment facilities in the first 10-year period of his or her continuous or noncontinuous civilian service in the government following the date of initial entrance into the civil service and each 10-year period of service, thereafter.

(8) Determine the extent of waiver, if any, on continued service agreement (CSA) obligations for individuals receiving Office of Civilian Personnel Operations (OCPO)-approved long-term, full-time (LTFT) training.

(9) Compile, analyze, validate, and distribute recurring training reports submitted to higher authorities.

**7. Major Commands (MAJCOM) and Comparable Organizations.** Each commander, through the Director, Civilian Personnel:

a. Establishes a Management Training Committee (MTC) comprised of top functional managers who will:

(1) Review installation-level and command-wide training and financial plans for the appropriateness of resources distribution within and between major functions, training priorities, and Affirmative Action objectives.

(2) Assist in forecasting the command's training needs under the 5-year program objective memorandum (POM) and 2-year operations operating budget (OOB)

modes based on anticipated mission, program, or technological changes and aggregated installation needs.

(3) Provide advice and recommendations for attaining training objectives, including the preparation of impact statements that explain the anticipated effects of unmet training needs.

(4) Approve training or screen, rank, and process career program nominees for training of more than 120 days (LTFT training) for civilian employees in Government and by, in, or through non-government facilities, career education awards, and fellowships. MAJCOM and comparable organizational commanders may designate, in writing, commanders of subordinate organizations, to which a central civilian personnel office (CCPO) is assigned, as approving officials for such training.

(5) Screen and recommend nominees for Air Force-wide competitive programs on a 2-year projected basis.

b. Designates a Training and Development Resource Manager (TDRM) whose primary responsibilities will be to monitor command-wide training plans, programs, financial status, and budgeting, and to advise the MTC.

The TDRM responsibilities include:

1. <sup>See AFR 50-9, Special Training</sup> (1) ~~Monitoring~~ <sup>Approving</sup> specific limitations on the use of non-government training; that is, staff years, maximum training in a 10-year period, minimum continuous service; and CSAs. <sup>See AFR 50-9, Special Training</sup>

(2) Approving the acceptance of contributions, awards, or payments to employees of the command when that total award is equal to, greater than, or must be supplemented by appropriated funds for the total of tuition and related expenses. (See FPM chapter 410, subchapter 7.)

(3) Receiving and determining extent of waiver for the obligation of any employee under a CSA for training that was approved at MAJCOM level.

(4) Validating the annual training plan, financial plan, and budget submission of subordinate installations.

(5) Serving as the Resource Manager for consolidating and preparing the command-wide training and financial plan to ensure that training category, affirmative action needs, resource center and cost center codes (RC and CC), career program designation, priorities, and funding level are validated and kept in phase with the budget cycle, PDS-C, and Pipeline Management System (PMS) requirements.

(6) Providing PDS-C support data and participating in functional review, coordination, and training priority validation for the annual PMS civilian training needs call before release to the Air Training Command (ATC). (See AFR 50-9, Special Training; and AFR 50-22, TDY-to-School Special Skill Training (ATC Funded).)

(7) Evaluating proposed training agreements and forwarding to HQ USAF/MPK proposals which meet criteria established by this regulation and the FPM.

(8) Evaluating and forwarding to HQ USAF/MPK requests for establishment of or change to existing apprentice programs for Department of Labor approval.

(9) Providing MTC substantive data necessary to determine requirements and recommended nominees for LTFT programs and following OCPO guidance for all training programs that involve Air Force-wide competition.

(10) Evaluating effectiveness and execution of subordinate installation training plans. (See attachment 3.)

(11) Providing staff assistance and guidance to subordinate activities in determining and meeting their employee development needs.

(12) Evaluating and submitting requests to HQ USAF/MPK of Air Force employees stationed within the 50 states, and District of Columbia for training in a non-government facility to attend foreign country training facilities outside the 50 states, and District of Columbia, or for the designation of a foreign government, international organization, or instrumentality of either as eligible to provide training or development for Air Force civilian employees.

(13) Evaluating and submitting to HQ USAF/MPK requests for waivers to training program and individual employee requirements in those instances where higher headquarters approval is required.

(14) Exploiting PDS-C training subsystems and PMS to review, validate, and consolidate command training requirements based on installation-level inputs. Conduct quality control reviews of the data and evaluate proposed system changes before submission to the OCPO.

(15) Serving as the Assistant Responsible Officer for the Exchange-Visitor Program (E-VP), when so designated. (See attachment 9.)

**8. Organizations Assigned Central Civilian Personnel Office.** The commander of each subordinate organization to which a CCPO is assigned, may designate his or her civilian personnel officer to act for him or her. (See AFR 40-102, Basic Authority and Responsibility for Civilian Personnel Administration and Management.) He or she will:

a. Assign to the Civilian Employment and Cost Management Committee (CECMC), or a separately appointed MTC made up of top functional managers, the following responsibilities:

(1) Review the Annual Installation Training Plan (AITP) to make sure current and future training requirements have been properly identified, validated, and prioritized. Impact statements explaining the anticipated effects of unmet training needs will be prepared and sent to OCPO/MPK as circumstances warrant.

(2) Recommend approval of the installation training plan and budget for submission to the commander for approval.

b. Ensure that a qualified member of the CCPO is

assigned as the Employee Development Manager (EDM) to administer the local training and development program. The EDM will:

(1) Prepare and distribute the Installation Training Guide (ITG) that informs managers and employees on methods, documentation, sources, and programs of employee training and development, including self-development. Inform managers on determining needs and planning for and evaluating training. (See attachment 2.)

(2) Conduct training needs surveys and input to PDS-C in phase with the budget cycle.

(3) Inform managers and supervisors on, determine training source selection for, and document the most economical and efficient ways of meeting training needs, including self-development and on-the-job training (OJT).

(4) Develop, prepare, and present the AITP and budget input for MTC review and commander approval.

(5) Inform top management of training type and quantity needs, plans to meet those needs, anticipated obstacles to meeting needs, and uses of methods to measure progress. Provide supervisors with status reports on approved training requirements.

(6) Implement special training and development programs such as worker-trainee, apprentice, upward mobility, cooperative education (co-op), etc., to meet specific needs of the installation.

(7) Administer and monitor new employee orientation program. (See attachment 6.)

(8) Follow the instructional systems development (ISD) concept when developing local training courses and programs.

(9) Approve, <sup>when</sup> delegated, <sup>by majcom</sup> and monitor compliance with specific limitations on use of nongovernment training facilities, documents waivers granted (FPM Chapter 410, subchapter 5).

(10) Inform managers and counsel employees selected for training on entitlements, Joint Travel Regulation, volume 2, responsibilities and obligations such as: cost, reimbursements, continued service obligations, leave, local travel authorization, use of government quarters, etc., as applicable, before training date.

(11) Ensure that competitive procedures are used in selecting employees for training and development when such training will qualify them for promotion.

(12) Provide training to supervisors and managers to assist them in carrying out their supervisory and civilian personnel management responsibilities. (See AFR 40-418, Manager Training and Development.)

(13) Evaluate individual training courses and the overall training and development program to make sure that objectives are met.

(14) Ensure that AF Forms 2674, Individual Development Plan, are completed and updated, and the data are entered into PDS-C as required. (See AFR 40-110, Civilian Career Management, and appropriate

program volume, and AFR 40-418.)

(15) Screen employee nominations for legal, regulatory, and administrative requirements. (See attachment 5.)

(16) Sponsor the joint use of installation civilian-military training facilities, instructors, visual aids, programs and surveys to increase productivity and minimize cost.

(17) Serve as the Resource Manager for training funds and exercises obligation authority for training funds through use of AF Form 405, Obligation Authority, and AF Form 616, Request and Authority to Cite Funds.

(18) Provide career development counseling for career program registrants, supervisors, and managers.

(19) Submit all offers for contributions, awards, or payments incidental to training of employees in non-government facilities to the parent MAJCOM for approval.

(20) Submit requests for waivers of CSAs to the MAJCOM when approved at MAJCOM.

(21) Approve use of non-government training of 120 days or less.

(22) Keep abreast of developments in the field of training sources and instructional technology.

(23) Prepare special reports and maintain adequate documentation for audit trail purposes.

(24) Maintain, propose improvements to PDS-C training areas, and conduct periodic quality control reviews of the data base.

(25) Accomplish E-VP actions when so designated. (See attachment 9.)

(26) Use interagency training facilities and extend Air Force training facilities to employees of other government agencies when better training, improved service, or savings to the government will result.

(27) Extend training facilities to eligible employees of state and local governments where practicable and when it will not interfere with the accomplishment of the Air Force mission.

**9. Managers and Supervisors.** Managers and supervisors will:

a. Use performance appraisals as a basis for determining the training needs of the employee (see AFR 40-452, Performance Appraisal Program).

b. Review technology shifts; anticipated or actual mission, program, weapon, or system changes; and career program master training and development plans to determine training and development needs, the priority of those needs, and the formal methods to be used in evaluating accomplished training. (See attachment 2.)

c. Consult with the EDM on identified needs to find the most economical and efficient source of training.

d. Make sure that affirmative action objectives are considered in identifying training needs.

e. Set up formal OJT programs as needed.

f. Prepare required documentation (DD Form 1556, Request, Authorization, Agreement, Certification of Training and Reimbursement) in requesting training. (See attachment 5.)

g. Ensure that subordinates, supervisors, and managers are released to attend required training as scheduled.

h. Inform and counsel subordinates on self-development opportunities and, when applicable, the requirements of special training, career, and management development programs.

i. Implement the formal training requirements of worker-trainee, co-op, apprenticeship, upward mobility, mainstream, and intern programs, when used.

j. Evaluate subordinates' job performance following formal training, OJT, and developmental assignments for effectiveness, and provide written evaluations to the EDM, as required. (See attachment 2.)

k. Make sure that merit procedures are followed in selecting employees for training or developmental assignments that may serve to enhance promotion.

**10. Employees.** Employees will:

a. Take part in directed developmental activities to perform official duties more effectively.

b. Use and share with coworkers knowledge and skills acquired through training.

c. Help train other employees.

d. Assume the primary responsibility for self-development and inform supervisors and the EDM of job-related training accomplishments.

e. Ensure that the EDM receives valid documentation for any completed training and educational activities which can be considered for inclusion in the official personnel folders and PDS-C.

### Section C—Planning for Training and Development

**11. Program Applications.** Regardless of major force program or specific appropriation (Operations and Maintenance (O&M); Research, Development, Test, and Evaluation; Industrial Fund; Air Force Reserve; National Guard; etc.), successful training program administration requires sound planning and financial management. Full use of PDS-C must be done to ensure effective planning, the validity of training needs, determinations, and that subsequent evaluations are meaningful in terms of making program improvements.

**12. Planning and Forecasting Financial Requirements.** The centralized management of program element 88751 funds (see AFM 300-4, volume III, Unclassified Data Elements (Microfiche) for definition) has been structured to follow the budget planning and execution procedures contained in the OOB process. These procedures, including the preparation of the ITG, should be

followed in planning and executing all other appropriations used to fund training. The OOB process involves forecasting in 2-year increments which provides essential lead time needed to prepare the Air Force 5-year POM. The POM is the cornerstone of the Air Force appropriation submission that is sent through DOD to the Congress. The components of the OOB are the current fiscal year (CFY), the fiscal plan year (FPY), and the operating budget year (OBY):

a. *The CFY* is the year that the budget, previously planned and programmed, is executed and managed. It covers both funded and unfunded requirements and is planned only to the extent that unprogrammed changes need adjustment.

b. Programming *the FPY* involves a revalidation and update of previous OBY forecasts plus the inclusion of firm requirements that have been validated by respective training committees.

c. Planning *the OBY* involves making sound estimates of anticipated training needs based on mission, legislative, regulatory, and civilian work force status changes that will have an impact on training programs. The OBY is linked directly to the POM since it represents the first year of the 5-year POM projection. Consequently, effective OBY planning cannot be overemphasized. Ineffective OBY planning will result in insufficient funding in the outyears.

d. Table 1 portrays the OOB and POM movements in time and the relationship each planning and programming year has to the others. Operations Operating Budget and Program Objective Memorandum Timetable.

#### Section D—Implementing and Controlling Programs and Funding Levels

**13. General Information.** A list of factors to consider on implementing and controlling programs and funding follows:

a. Give necessary training and development for employees to perform at an optimum level of proficiency either in their current position or for a future assignment.

b. Systematically plan, program, budget, operate, and evaluate training programs, making full use of automated data systems.

c. Make the most economic and efficient use of training funds and resources.

d. Give eligible employees equal opportunity to gain training and development without regard to race, color, religion, national origin, sex, age, marital status, non-disqualifying physical handicap, or any other factor unrelated to demonstrated need for training.

e. Make sure employees have an opportunity to compete for training when this training is required for promotion or is given primarily to prepare for advancement by broadening their skills, knowledges, and abilities.

**Table 1. Operations Operating Budget and Program Objective Memorandum Timetable.**

Fiscal Year Relationships				
1983	1984	1985	1986	1987
CPY (84)	History			
FPY (85)	CFY (85)	History		
OBY (86)	FPY (86)	CFY (86)	History	
POM (86 to 90)	OBY (87)	FPY (87)	CFY (87)	History
	POM (87 to 91)	OBY (88)	FPY (88)	CFY (88)
		POM (88 to 92)	OBY (89)	FPY (89)
			POM (89 to 93)	OBY (90)

**NOTES:**

1. POM = Program Objective Memorandum
2. OBY = Operating Budget Year
3. FPY = Financial Plan Year
4. CFY = Current Fiscal Year

f. Make maximum use of existing Air Force, DOD component, and other federal agency facilities for training employees—with appropriate emphasis on meeting needs through OJT.

g. Use non-government facilities only when government facilities are not reasonably available or suitable, are not cost effective, cannot be used in a timely manner due to mission urgency, or are unable to support training of physically handicapped employees.

h. Extend use of Air Force facilities and training to eligible employees of other federal, state, and local government agencies on a space available basis when it will not interfere with accomplishment of the Air Force mission.

i. When available funding permits, pay all or any part of the expenses of training that is directly related to the employee's present or anticipated future assignment. Payment may be made directly to the training facility (in advance, if need be) or the employee may be reimbursed for the training expenses on satisfactory completion.

j. When available funding permits, pay allowable expenses of employees attending meetings of professional organizations when participation will contribute to better supervision and management methods, or provide information to keep them abreast of changes associated with their occupations.

k. Apply ISD techniques in designing and operating all civilian training courses and developmental experiences.

l. Make sure that personnel management programs are integrated to attract, select, utilize, train, develop, and keep a qualified, productive, and well-motivated work force capable of performing the Air Force mission at all levels.

m. Use research findings and advances in training technology to more effectively and economically achieve training objectives.

n. Encourage and counsel employees in their self-development efforts and aid them in achieving their highest job performance potential.

o. Increase the flexibility and mobility of the civilian work force through training and developmental experiences.

p. Improve management competence and effectiveness at all levels.

q. Support upward mobility and equal employment opportunity (EEO) through formal training and developmental experiences.

r. Provide education in advancing technology to keep scientists, engineers, and other professionals abreast of the changes and disciplines associated with the state-of-the-art.

s. Establish apprenticeship and special training programs to meet labor market skills shortages.

#### 14. Applying the Installation Training Guide (ITG):

a. **Identification of Training Needs.** The process used by supervisors and managers to identify training needs should be done continuously. EDMs are available for guidance and assistance. As a minimum, a formal identification process will be done at least once each year as a part of planned personnel management program activities. (See attachment 2.)

b. **Documentation.** The supervisor documents identified training requirement(s) on a DD Form 1556 and assigns priorities. (See attachment 5.)

c. **Training Source Determination.** Once a valid need has been identified, the best means of satisfying the need must be determined. The key to source selection involves matching the need with the best possible training course or developmental experience. The matching process should take into account course objectives, content and length, instruction quality, timeliness, and finally, cost. Cost should always be a key consideration when more than one source is available. (See attachment 4 for general source selection guidance.)

d. **Validation.** All training needs documented within an organization are validated by a key management official to ensure that the requirements and priorities represent a valid statement of mission need. Training requirements validated in this manner are then submitted to the EDM for review of:

- (1) Legal and regulatory compliance.
- (2) Most effective source or method of training for meeting cost, quality, and timeliness objectives.
- (3) Categorizing and grouping employees with like training requirements to achieve optimum efficiency and cost effectiveness.
- (4) Applicability of the Office of Management and Budget Circular No. A-76 (revised), 29 March 1979, Policies for Acquiring Commercial or Industrial Pro-

ducts and Services Needed by the Government, as specified in FPM chapter 410.

(5) All other aspects of the training request that may be critical to the successful completion of the training.

e. **Recording Training Needs.** The EDM will record in PDS-C all training needs that have been validated through the above procedures. Guidance and instructions on the use of the PDS-C are contained in AFM 30-130, volume IV, Civilian Personnel, chapter 13. Hard copy source documents (DD Form 1556) will be maintained on file by the EDM for 2 years (or longer if required by service obligation commitment) for audit trail and future planning purposes.

f. **Preparation and use of the Annual Installation Training Plan (AITP):**

(1) When all training requirements have been recorded in PDS-C, the EDM will obtain a system product to display the projected fiscal year training requirements (see Direct English Statement Information Retrieval (DESIRE) inquiries of base-level, table 7 in PDS-C). This product is the AITP. Once this process is completed, the EDM prepares information in summary formats for use by the CECMC or MTC to accomplish the final installation-wide validation of the AITP. Committee action should ensure that:

(a) Requirements represent training needs as indicated by past training activities and anticipated future needs.

(b) Priority groupings are proper and that any unmet needs resulting from funding restrictions are analyzed and impact statements prepared as warranted.

(c) The number of employees projected for training is representative of installation requirements.

(d) Projected training cost estimates are reasonable and sufficient to accommodate predicted expenses.

(e) Additions, deletions, and adjustments to training requirements and estimated costs are made to ensure that funds will be used most effectively.

(f) Affirmative actions and equal employment opportunities in training objectives are reflective of established goals.

(2) The committee validation process will result in the AITP for the commander's approval after which the AITP becomes the installation's annual training and financial management plan submission.

(3) MAJCOM MTC actions relative to the command's overall annual training plan (PMS and installation level training) follow a similar review and validation process as accomplished by the installation-level MTCs. Specifically, the TDRM will:

(a) Extract from PDS-C (Headquarters Air Force (HAF) file) display and summary type products for review by key functional managers and the MTC for use in their deliberations and validation of needs as viewed from the command-level perspective.

(b) Inform the installation EDM of any required



changes, additions, and deletions arising from the review process.

(c) Coordinate command level requirements with servicing CCPOs to make sure that needs are properly identified, documented, recorded, and entered into PDS-C.

(d) Ensure that subordinate CCPOs strictly follow the 2-year training and budget projection process explained in section C, paragraph 12.

(e) Transmit, promptly, to subordinate CCPO information received from higher headquarters, concerning the annual survey, budget, bogeys, Air Force-wide training, nomination submissions, etc.

**g. Meeting Training Needs.** The culmination of all planning and program implementation efforts is, quite simply, meeting the training needs. Consequently, managers and supervisors must make sure employees are available for attendance when training is offered.

**15. Budget and Financial Resource Management.** The EDM is responsible for the management and administration of funds required to meet training needs. (See attachment 3.) In doing this, the EDM must:

a. Determine and assign proper budget categories (appropriations, program elements, RC/CCs, element of expense and investment codes (EEIC), etc.) in obligating, expending, and tracking training expenses.

b. Coordinate with Accounting and Finance Offices (AFO) on financial matters involving distribution, adjustments, and expenditures of funds; and contracting offices on contract training, as appropriate, such as AF Form 9, Request for Purchase. When use of AF Form 9 is required, certification of fund availability must be accomplished by accounting and finance officer. AF Form 9 cannot be used with AF Forms 405 or 616.

c. Control obligations to remain within projected quarterly level by using either the AF Form 405 or AF Form 616 issued by the AFO for noncontract training.

d. Certify availability of funds.

e. Validate fund citations.

f. Monitor the annual financial portion of the AITP by reconciling AFO reports, corresponding PDS-C products, and DD Forms 1556.

#### Section E—Evaluating Training and Development

**16. Training Purpose.** The evaluation process completes the training and development cycle. It provides supervisors, employees, and the EDM with information necessary to determine how well a specific training course or overall installation training program has met objectives. This determination is extremely important since the expenditure of training funds can only be justified by a corresponding improvement in one or more factors of work quality, quantity, timeliness, productivity or management operations.

#### 17. Evaluating Completed Training and Development:

a. Supervisors and employees will prepare, as a minimum, formal precourse objectives and postcourse evaluations on all training courses of more than 40 hours. (See attachment 5.) Precourse objectives will be developed and recorded on DD Form 1556 before submitting to the EDM. Postcourse evaluations will be submitted to the EDM within 90 days of course completion. Professional education and development courses may be given an extension of up to 6 months.

b. The EDM will ensure timely submission, review for adequacy, and provide assistance, as required, to supervisors and employees in the development of precourse objectives and postcourse evaluations.

c. The EDM must take positive action in response to all course evaluations which are evaluated as less than satisfactory; for example, improvements needed in course content, materials, facilities, instructors, high student failure rate, etc. Written documentation of the action taken will be maintained for future reference and planning purposes with the course file.

d. Course evaluations and EDM followup actions will be review items for all HAF and command level personnel management evaluation teams. Evaluation records will be retained by the EDM as explained in AFM 12-50, Disposition of Air Force Documentation, table 40-3.

#### 18. Evaluating Training Program Administration.

As a minimum, the EDM will:

a. Conduct periodic quality control review of PDS-C products and manual training records to ensure accuracy and compatibility.

b. Compare AFO reports with cost data recorded in PDS-C and DD Form 1556 to measure how well initial estimates match actual expenditures.

c. Compare the AITP with completions, out of cycle additions, and priorities to determine adequacy of planning and the identification and validation of training requirements.

d. Review training completions relative to type, cost, and participation rates for underrepresented and special groups covered in the affirmative action plan.

#### Section F—Program and Special Training Requirements

##### 19. Special Training Programs:

a. **Employee Orientation.** The orientation program is to assist new employees in adjusting readily to their jobs and job environment. New employee orientation (group or desk) will be given by the CCPO as soon as possible but not later than 90 days after the employee enters or duty. Supervisors will conduct initial job inductor immediately upon entry on duty. (See attachment 6 for program guidance.)

##### b. **Apprentice Training Program:**

(1) **The Air Force Apprentice Training Program**

consists of two distinct programs. The regular apprentice program and the specialized program. (See attachment 7 for program guidance.)

(a) The Regular Apprentice Program is a formalized training program designed (1) to develop highly skilled, Air Force-oriented journeymen, thoroughly qualified in Air Force occupations and (2) to provide a potential source of key employees and supervisors. It is conducted according to standards approved by the Federal Committee on Apprenticeship.

(b) The Specialized Apprentice Program is a formalized training program designed to develop personnel for assignment to certain specialized journeymen level positions. It enables an employee with the necessary aptitude, but little or no previous experience, to systematically acquire the knowledges and skills required for specialized positions. This program is conducted for journeymen occupations which require 2 to 2½ years or less of OJT, work experience, and related classroom instruction to complete.

**c. Co-op Program:**

(1) Co-op programs may be established at the graduate, baccalaureate, associate, and high school levels. (See FPM chapter 308.) The basic program provides for alternating periods of academic study and study-related work. Normally, the timing of alternating work and study periods depends on the participating educational institution's academic calendar. Two co-ops may alternate their work-school schedules on a single position.

(2) A CCPO staff member will serve as the installation's co-op coordinator. The coordinator will provide advice and assistance to managers and supervisors, serve as an advisor to co-ops on program matters, and prepare and submit the annual consolidated report and special reports as needed. The coordinator also serves as the installation's liaison with educational institutions. In this capacity, the coordinator makes formal arrangements with participating schools for selecting and retaining co-ops and for scheduling work and academic study, and develops a written agreement with each institution.

(3) Supervisors will prepare detailed co-op training plans that provide for:

(a) Increasingly responsible work assignments that are integrated with the co-op's academic curriculum and are compatible with OPM qualification standards.

(b) Continuous evaluation of the co-op's progress, and counseling by appropriate levels of management.

(c) Removal of co-ops who do not perform and progress satisfactorily in both OJT and the academic program.

**d. Upward Mobility.** See AFR 40-110, volume II (to be published) for specific program guidance.

**e. Drug and Alcohol Abuse Prevention and Control Program.** This program requires extensive coordination

between the CCPO and the social actions office. (See AFRs 30-2, Social Actions Program, table 4-1, and 40-792, Drug and Alcohol Abuse Prevention and Control, attachment 4.)

**f. Worker-Trainee Opportunities Program (W-TOP).** The purpose of the W-TOP is to fill vacancies at the lowest levels of federal employment with low skilled and disadvantaged persons. The program provides systematic developmental opportunities for all worker trainees. Under this program, persons selected from the worker-trainee register will be placed in one of two job categories:

(1) The regular job category which provides basic and general career guidance services; or

(2) The developmental job category which requires more specific types of training and developmental experiences that lead to target positions at higher grade levels. The OPM allocates ceiling exemptions to agencies for persons placed in the latter category who are selected from the worker-trainee register or appointed under the Veterans Readjustment Appointment Program at the GS-1 and WG-1 or WG-2 levels. (See FPM Letter 713-33.)

**g. Career Intern Program.** An entrance level program to prepare outstanding men and women in various occupations for subsequent advancement in professional administrative and technological careers. Program requirements are based on position analysis in order to identify knowledges, skills, and abilities (KSA) and methods (formal OJT; special assignment; study of regulations, directives and law, etc.) from which to develop a written training plan and schedule. The plan will also provide for periodic and final program and individual progress and performance evaluation. Interns will be counseled on a regular basis on their program status, progress, performance and other factors relevant to the program objectives and career progression. If an intern, upon completion of training, is to be assigned to a position other than the target position, the intern must be notified at least 90 days before the assignment (FPM Chapter 361).

**20. Training Agreements.** The primary purpose for using formalized training agreements is to support the recruitment and systematic development of shortage skill occupations. Such agreements provide a structured training plan that allows for three types of development progression. One is used as a substitution for normal qualification standard requirements; the second as a basis for promotion as an exception to time-in-grade restrictions; and the third, a combination of both. Agreements expire 2 years from the date of approval unless otherwise stated.

**a.** A formal agreement must meet the following conditions:

(1) The scarcity of qualified personnel at the level at which employees will serve on completion of training

under the agreement must be explained.

(2) Verification of the difficulty in recruiting personnel at the trainee level in relation to the available labor supply and installation recruitment efforts must be accompanied with statistical and narrative analysis.

(3) Verification of the difficulty in retaining personnel in the line of work covered by the training agreement as evidenced by high turnover rate causative factor analysis.

(4) If requested, the rationale for using superior academic achievement as a basis for entry at the GS-7 level must be fully explained.

(5) It may not be a vehicle for moving temporary or excepted employees into career or career-conditional positions unless proper authority (for example, Veterans Readjustment Act (VRA) or reinstatement eligibility) exists for such assignment.

(6) For the position or positions covered, it cannot specify positive education requirements not addressed in OPM qualification standards. Conversely, it cannot waive positive education requirements.

(7) It must conform to all requirements of FPM chapter 338; FPM chapter 335; FPM chapter 300, sub-chapters 6 and 8; and FPM Supplement 351, appendix A.

(8) It must specify that at least 50 percent of training will be in the target occupation or directly related fields.

(9) Entry into a formal training program at a lower grade is an involuntary action for pay purposes, but a voluntary action for merit promotion purposes. The training agreement may provide for pay retention for employees who accept downgrades into the training program, but it may not provide for noncompetitive repromotion to their former grades for those who fail to complete the training satisfactorily (FPM chapter 536 and AFR 40-335, The Merit Promotion Program).

(10) It may credit qualifications or service at an accelerated rate only when final assignment will be at the target position. For example, an agreement providing for two successive accelerated promotions cannot be used to satisfy just the first promotion.

(11) It may not provide for the movement of trainees to positions in the senior executive service (SES).

b. Approval for establishing agreements rests with HQ USAF/MPK. Three copies of proposed agreements are forwarded through the command level directorates of civilian personnel for review and endorsement to HQ USAF/MPKS. Agreements proposing consecutive back-to-back promotions as exceptions to time-in-grade restrictions must be approved by OPM.

## 21. Long-Term, Full-Time (LTFT) Training:

a. This is off-the-job training consisting of more than 120 consecutive days, accomplished in either government or non-government facilities. The purpose of

LTFT training is to provide selected employees with training that allows Air Force to keep abreast of professional, management, technical, and scientific advancements. LTFT training to obtain a degree is prohibited unless incidental to the purpose of training. Air Force activities are not authorized to pay or reimburse an employee for costs solely related to the acquisition of an academic degree. Following are examples of prohibited costs:

(1) Any additional rate of tuition charged because student is a degree candidate.

(2) Tuition to an institution for the sole purpose of having an employee receive credit toward a degree at the institution for academic work pursued elsewhere such as Armed Forces College programs.

### b. LTFT Training is Used Only When:

(1) The knowledges and skills to be gained require a comprehensive study program which cannot be completed by a series of unconnected short-term courses.

(2) The time span for acquiring the knowledge and skill is such that a concentrated LTFT training program is most appropriate.

(3) The knowledge and skill is unique, complex, or so new that it cannot be readily gained on a short-term basis.

### c. Selecting the Source of LTFT Training Involves:

(1) A determination if government or DOD facilities such as the National War College, Air War College, Air Command and Staff College, Industrial College of the Armed Forces, Armed Forces Staff Colleges, various programs of the Air Force Institute of Technology open to civilians, and the Defense Systems Management College's Program Management Course will satisfy the need.

(2) The use of non-government sources, if adequate government facilities which meet the objectives are not available. The principle criterion for selection of a facility is its ability to meet the training objective in an effective, economical, and timely manner. Other considerations are comparative costs, geographical accessibility, availability of special academic faculty, special facilities (laboratories, libraries, etc.), curriculum content, and availability of the training at the specific time or place needed. The selected facility should allow the employee to tailor studies to the learning objective required by management rather than to rigid departmental requirements of the institution.

d. Selection for LTFT training, whether government or non-government, which results in increased opportunity for advancement and promotion, will be competitive. Selection will be based on:

(1) The relevancy of the training to current or future assignments.

(2) The relevancy of the training to established Individual Development Plans (IDP).

(3) The timing of the LTFT training assignment in relation to the candidate's work experience and man-

agement's assessment of career potential.

(4) Evidence of the candidate's ability and desire to undertake and successfully complete a comprehensive LTFT training program.

(5) The candidate's commitment to the Air Force and to the federal service.

(6) Basic merit principles providing equal opportunity to all eligible employees.

(7) The extent to which knowledge and skill gained by the employee will be utilized in the work environment.

e. Processing Approval of Non-government LTFT Training. Non-government LTFT training is approved as outlined on DD Form 1556, sections D and E. However, before signing DD Form 1556, item 27, the EDM must ensure that all necessary higher-level approvals and concurrences have been obtained.

f. Initial Nominations for LTFT Training are:

(1) Prepared by the immediate supervisor and endorsed by the top management official where the nominee is assigned. Financial planning must be accomplished in phase with the budget cycle.

(2) Reviewed by the CCPO for legal and regulatory compliance and to determine available funding.

(3) Reviewed and endorsed by the MTC. Committee action may result in listing applicants by priority if multiple nominees are selected as candidates.

(4) Approved by the Installation Commander (or designee) including statement that employee will be released to pursue the program if selected by the MAJCOM or OCPO selection process if Air Force-wide career management or competitive program. After approval, appropriate information of each nominee is entered into the civilian experience (CE) file and special program applications are forwarded to the MAJCOM for MTC review and approval.

g. Selection for centrally funded LTFT training will be on an Air Force-wide, competitive basis. The command director of civilian personnel will send recommended nominations to the OCPO for final review and selection. Selection for training in a function that is covered by an Air Force-wide, civilian career management program will be as outlined in the applicable volume to AFR 40-110 (to be published). After approval, the DD Form 1556 is returned to the servicing CCPO for normal processing of the candidate for training.

h. The cost of LTFT training makes it very unlikely that out-of-cycle requests can be approved. It is important that 2-year LTFT training cost projections be included in the OOB.

## 22. Continued Service Agreements (CSA):

a. One of the major objectives justifying an employer's investment of resources to train employees is to improve performance and productivity. To ensure this return, a CSA is required for specified length of training

obtained through non-government sources. CSAs are required when:

(1) The training exceeds 80 hours and has expenses over and above salary and wages such as tuition, travel, per diem, books, and materials, then the period of service obligation is three times the amount of time spent in training.

(2) The training exceeds 80 hours but does not involve expenses other than salaries and wages, then the period of service is the same as time spent in training, but in no case less than 1 month.

b. The training is either non-government or government over 120 days (LTFT) in which case a CSA is required.

c. Following consultation with the EDM and review of the CSA agreement, employees will sign the CSA before commencement of the training. Once the employee has signed the CSA, the EDM will input to PDS-C the date the obligated service commitment expires. This prevents any subsequent type of service-termination personnel action from being processed. This is a programmatic routine designed to avoid oversights.

d. A CSA agreement is not required when:

(1) An employee selected for training not in excess of 80 hours (short-term training) provided by a manufacturer as a part of the normal service incident to initial purchase or lease of a product under a procurement contract.

(2) An employee selected for training by, in, or through a non-government facility that does not exceed 80 hours within a single program.

(3) An employee selected for training which is given through a correspondence course.

e. Employees are required to provide at least 10 workdays' advance notice of their intent to transfer or resign while under the obligation period. Recoupment of expenses will be initiated unless a waiver is requested by the employee who must document reasons and justification in writing. Recoupment is also required if an employee fails to satisfactorily complete the training for reasons within his or her control.

f. Repayment of funds will not be required when an employee moves to another government agency position which is related to the training completed. However, the remaining period of obligated service will then be transferred to the gaining agency. The gaining agency must assure that the agreement is fulfilled.

g. If the employing agency finds that the employee would not use the training in the new position, it must give the employee notification before the effective date of the transfer of its intention to recover the additional expenses. The agency must provide an opportunity for the employee to respond to the agency findings that the individual would not use the training in the new position before it can proceed to recover the appropriate amount of training expenses. The percentage of the additional expenses recovered cannot exceed the proportion of the

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agreement not completed. The completion of recovery relieves the employee of the obligation to continue in the service of the government.

h. The final training approval authority (HQ USAF/MPK, MAJCOM, or comparable level organization or CCPOs with a delegated authority) may waive CSA obligations, in whole or in part, based on the employee's justification. Approval of waiver will be based on full consideration of equity and good conscience, and the public interest in the decision process. Waiver may be granted if:

(1) The employee has completed most, but not all, of the required period of service.

(2) The employee resigned because of personal illness or serious illness of a member of their immediate family.

(3) The employee is financially unable to make the required payment because of severe financial hardship. One copy of the waiver will be given to the employee and one will be filed in the CCPO.

i. Decisions not to grant waivers are appealable by nonbargaining unit employees through the Air Force grievance system described in AFR 40-771. Bargaining unit employees resolve disagreements through a negotiated grievance procedure, as appropriate.

**23. Attendance at Meetings.** Employees may be authorized to take part in activities and meetings of private or nongovernmental associations, including technical, scientific, and professional societies. Funding and approval authorities differ depending on the purpose of the meeting.

a. When the purpose for attendance clearly meets a training objective(s), training funds will be used. When the purpose for attendance is not for training, but to provide a medium for informational exchange (participants whose presence is necessary for adequate Air Force representation in private associations, meetings, and activities not convened for the purpose of training), managers, in consultation with the EDM, decide the propriety of supporting and financing the employee's participation. Base support funds may be authorized if:

(1) There is a direct benefit to the achievement of a mission-related objective.

(2) The fees charged are in line with actual costs.

(3) The primary benefit is not personal to the employee as in sustaining membership fees or providing an incentive award.

(4) Meeting site and proximity of participants has been fully considered in terms of cost and expected benefits.

(5) The number of participants is limited to the minimum required to relate the information from the meeting to the achievement of the mission. When the purpose is clearly to attend a meeting (as defined above and meets the five conditions, requests will be made on

DD Form 1556 and approved by the appropriate authority listed in c below.

b. When attendance is authorized, based upon the guidelines above, all or part of the expenses may be paid from nontraining (base support) funds. Generally, these expenses would include transportation, per diem, miscellaneous expenses, and any required registration or admittance fee charged to EEIC 592. Payment is not authorized merely for an individual's membership fee.

c. The following officials are authorized to approve or disapprove requests for expenses related to attendance for purposes not related to training:

(1) The Administrative Assistant to the Secretary of the Air Force, for civilian personnel in the OSAF.

(2) The deputy chiefs of staff, assistant chiefs of staff, directors, deputy directors, or the chiefs and executive officers of major staff offices, HQ USAF, for civilian personnel under their jurisdiction.

(3) Commanders of MAJCOMs or comparable organizations of the Air Force, for civilian personnel under their jurisdiction. This authority may be delegated to directorate or comparable level at MAJCOM headquarters and to the level of installation, wing, or comparable commanders.

**24. The Exchange-Visitor Program (E-VP).** The E-VP allows non-US citizens employed by the Air Force overseas to obtain J-1 visas for attending training at installations, factories, or educational institutions located in the United States. The Department of State rules, governing the entry of visa-bearing non-US citizens, dictate the program requirements. (See attachment 9 for guidance.)

#### Section G—Training Sources

**25. Use of Interagency Training Programs and Facilities.** Interagency training refers to training programs and facilities which are set up for the use of more than one agency. Such training programs are normally provided through the OPM, or other government agencies, or are jointly developed by an Air Force activity and at least one other agency. Air Force participation in courses which require an agency single point manager or contact approved by HQ USAF/MPK (such as the Federal Executive Institute, Executive Seminar Centers, etc.) will be centrally funded and administered by the OCPO. Other interagency courses will normally be developed, administered, and funded at the installation level. (See attachment 4 for partial list of sources.)

**26. Use of Nongovernment Training Facilities.** When sources within the federal government are lacking or inadequate for meeting a training need, the EDM may make arrangements through the local contracting office or ATC for factory training (AFR 50-9) or through non-government facilities. The factors outlined in FPM

chapter 410, subchapter 5b(2) concerning Office of Management and Budget Circular A-76 will be considered in making a choice among facilities.

a. There are constraints and prohibitions on use of non-government facilities which are:

(1) Training for promotion. (See FPM chapters 410 and 536.)

(2) Training to provide opportunity to qualify for positions with a degree requirement.

(3) Training solely to provide opportunity to obtain one or more academic degrees.

(4) Training in a facility teaching or advocating the overthrow of the government of the US by force or violence. This prohibition also applies to training provided by a person about whom a proper determination has been made that there is reasonable doubt of his or her loyalty to the United States.

(5) Training in a facility carrying on subversive propaganda, attempting to influence legislation, or participating or interfering in political campaigns on behalf of any candidate for public office.

(6) Training in a facility that discriminates, because of race, religion, sex, color, national origin, age, or physical handicap, in the admission or in subsequent treatment of students. See FPM chapter 410 for full explanation of these prohibitions.

b. Limitations on Training in Non-government Facilities (see FPM chapter 410, subchapter 5, for further details) are:

(1) Staff-Year Limitation. In any fiscal year, training in non-government facilities may not exceed 1 percent of the total staff-years of civilian employment in the Air Force.

(2) Maximum Training in a 10-Year Period Limitation. Time spent by an employee in non-government training cannot exceed 1 year during his or her first 10-year period and each ensuing 10-year period of employment.

(3) Minimum Continuous Service Limitation. Employees with less than 1 year current, continuous civilian service are not eligible for training in non-government facilities unless postponement of the training would be contrary to the public interest.

c. Limitation Waivers. Any waiver must be handled on a case-by-case basis and weighed against individual circumstances when:

(1) An activity determines that a request for waiver from OPM is warranted, the following information will be forwarded through the MAJCOM and HQ USAF/MPK at least 30 days before commencement of training to the approving authority specified in FPM chapter 410, subchapter 5:

(a) The names of employee(s) (persons, groups, or classes) for whom the waiver is requested.

(b) The approximate number of employees who would be affected.

(c) The specific restrictions for which waiver is

requested.

(d) The desired period the waiver is to be effective.

(e) The number of days for which the waiver is requested.

(f) The factors which justify that a waiver is in the public interest.

(2) A waiver is granted on any of the above-described limitations, a notation will be made on the DD Form 1556 describing the waiver conditions and exactly which limitation or limitations have been waived.

### 27. Establishing Local Training Courses and Programs.

Local training programs, including OJT, should be developed to fill identified training needs whenever an analysis supports this approach as being the most efficient and economical method of meeting the needs. The required method for developing a local training course or program is the ISD process. It is a structured method for making sure that training is done in the most efficient and economical manner possible. AFR 50-8, Instructional System Development (ISD); AFM 50-2, Instructional System Development; and AFP 50-58, volume II, Handbook for Designers of Instructional Systems; prescribe the use of ISD and describe how it is to be applied in the development and use of a variety of training and educational programs.

### Section H—Forms, Reports, Records Disposition, and Supplementation

28. Forms Used in Training and Development. The Air Force civilian training program uses a wide range of forms in processing, validating, planning, financing, and accomplishing employee development. See table 2 for explanation and use of and forms prescribed and adopted in this regulation, except for AF Form 2674, Individual Development Plan. Use of this form is as follows:

a. AF Form 2674, Individual Development Plan. The IDP provides supervisors and employees with a plan for systematically developing employee capabilities through self-development activities, formal classroom training, and developmental work assignments. An AF Form 2674 will be prepared annually along with the appraisal for the following categories of employees:

(1) LTFT study, both government and non-government.

(2) Employees registered in Air Force career programs when required by the specific career program regulation (see AFR 40-110, to be published).

(3) SES candidate members.

(4) Employees covered by formal training agreements.

(5) Career broadening assignments.

(6) All Air Force-wide competitive programs; for example, LEGIS-fellows, Armed Forces College Program, training assignments with industry, Inter-

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governmental Mobility Program and others as added by HQ USAF/MPK.

b. A Formal Training Plan (FTP) can be considered the IDP for special emphasis or entry-level programs, where required. Formal training required by the FTP will be input to PDS-C requirements file and the CE Projected Training Area or the Required Training Area. The CE projected training area and required training area will constitute the IDP for SES members and any other employee where an IDP is applicable but not covered in paragraph 28a(1) through (6).

c. Preparation of the AF Form 2674 is a joint respon-

sibility of the supervisor and the employee. (See table 2 for use of other forms adapted for civilian training.) Certification by the supervisor indicates that training and development activities support organizational goals and the employee's desires and needs were considered. The AF Form 2674 is prepared in triplicate. The original is sent to the EDM for PDS-C input of developmental assignment objectives and course data. After input, the original is filed on the left side of the Official Personnel Folder (OPF). The supervisor keeps copy 1; copy 2 goes to the employee. Instructions for completing the IDP are provided on the reverse side of the AF Form 2674.

If the training action	RULE			
	1	2	3	4
	then use	which is prepared by	and sent to the	and completed by
<b>A</b> sets up a new or revises an existing regular apprentice program	AF Form 2	servicing EDM	US Department of Labor (DOL) through MAJCOM and MPKS	giving approved copy to each apprentice and filing in the CCPO
<b>B</b> formalizes a training agreement between the activity and individual apprentices	AF Form 6	servicing EDM	DOL as attachments to AF Form 2	same as above
<b>C</b> is to certify completion of regular apprentice training program	AF Form 76	servicing EDM (see paragraph 11, attachment 7, this publication)	apprentice	
<b>D</b> involves reporting the status of participation and training in a regular apprentice program	AF Form 530	servicing EDM	DOL through MAJCOM and OCPO semi-annually	
<b>E</b> is to record student attendance and ratings at Air Force-sponsored training courses	AF Form 1151	instructor or course leader	servicing EDM	filing in CCPO course folder
<b>F</b> is to formally recognize successful completion of training (see notes 1 and 2)	AF Form 1256	servicing EDM	trainee	
<b>G</b> is to chart trainee requirements, progress, and completions	AF Forms 1320 and 1320a	immediate supervisor		displaying at the worksite
<b>H</b> requests, authorizes, or certifies training and reimbursement	DD Form 1556	supervisor	see attachment 5, this publication	see attachment 5, this publication
<b>I</b> involves attendance of non-US citizen employees at Air Force-sponsored training in the United States	Form IAP-66	servicing CCPO	see attachment 9	see attachment 9
<b>J</b> requires a local Air Force contracting office to issue a contract for nongovernment training	AF Form 9	servicing EDM	AFO and local contracting office	the AFO committing the funds; filing in EDM office with DD Form 1556
<b>K</b> is a request for special training (as defined by AFR 50-9) which has been entered into PDS-C	AF Form 403	supervisor	servicing MAJCOM through servicing EDM	

TABLE 2--Continued

If the training action	RULE			
	1	2	3	4
	then use	which is prepared is	and sent to the	and completed by
<b>L</b> involves obtaining authority from the AFO to obligate O&M PE 88751 funds projected for the upcoming quarters (see note 3)	AF Form 405	AFO with input and request from servicing EDM	servicing EDM	tracking obligations and reconciling uncommitted balances with the AFO
<b>M</b> same as L above	AF Form 616	see L above	see L above	see L above
<b>N</b> requires a local contracting office to issue a contract for government training provided by another agency	DD Form 448	budget office with input and request from servicing EDM	AFO and local contracting office	the AFO committing and obligating the funds; filing in training office with DD Form 1556
<b>O</b> involves providing training to another government agency and a DD Form 448 is received	DD Form 448-2	see N above	see N above	see N above
<b>P</b> requires travel by students or instructors	DD Form 1610	servicing EDM or administrative office	AFO and attendee	obligating funds and reimbursing attendee upon completion of training
<b>Q</b> involves payment for non-government or noncontracted training authorized by certified DD Form 1556 and invoice	SF 1034	AFO	funds disbursement function within AFO	filing in AFO and CCPO training office
<b>R</b> involves payment of nongovernment or contracted training initiated by AF Form 9 and certified invoice	SF 1034	AFO	see Q above	see Q above
<b>S</b> involves payment for government training	SF 1080	AFO	see Q above	see Q above
<b>T</b> involves reimbursement of attendee for vicinity travel, tuition, books, materials, and fees	SF 1164	attendee and certified by servicing EDM	AFO	reimbursing the attendee; filing in AFO and servicing EDM office
<b>U</b> involves the annual report to OPM on the receipt of contributions and awards associated with nongovernment training (RCS: 1056-OPM-AN)	OPM Form 1306	servicing EDM	OPM through MAJCOM/OCPO training offices	filing in CCPO training files
<b>V</b> involves the annual report to OPM on the receipt of contributions and awards associated with nongovernment training (RCS: 1056-OPM-AN)	OPM Form 1307	see U above	see U above	see U above

## NOTES:

1. May be used to recognize completion of training courses of 40 hours or more.
2. AF Form 1256 may be issued to military personnel when authorized by MAJCOM or HQ USAF directive requiring specific types of training.

3. The EDM determines the amount of dollars needed for training projected for the quarter and prepares a formal letter of request to AFO. The AFO determines whether to use the AF Form 405 or 616 and sends the appropriate form to the servicing EDM for use in obligating funds.



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**29. Specific Reports:**

a. Report of Apprentice Actions, RCS: HAF-MPK(SA)7126(DL). This report provides a 6-month statistical summary of all apprentice program gains, separations, and completions. AF Form 530, Apprentice Actions, will be prepared and submitted in duplicate. Reports will be submitted, through command level Director of Civilian Personnel (DPC), to reach OCPO/MPKT not later than 15 workdays after 30 June and 31 December. Data reported will show the number of apprentices who have entered a program, been reinstated, successfully completed a program, or been terminated before completion. The last sheet of each report will show a breakout of minority versus non-minority apprentices included in the report.

b. Report of Employment of Students Under Executive Order 12015, RCS:1051-OPM-AN (Co-op and Related Programs). Used for Air Force-wide planning and required reporting to the OPM. Reports will be prepared as described in FPM chapter 308, appendix A. CCPOs will submit the annual report to reach their command level Directorate of Civilian Personnel on or before 15 October. Each command level Directorate of Civilian Personnel will submit a consolidated report to reach OCPO/MPKT by 1 November.

c. Central Personnel Data File (CPDF) Training Report. The requirements for data collected in the OPM CPDF Training Subsystem are levied by directive. The CPDF reports provide the OPM with the information needed to evaluate, coordinate, monitor, and report to the President and the Congress on the purpose, type, source, length, and costs of training provided Air Force and other federal employees. The CPDF report is prepared and submitted to the OPM by the Air Force Manpower and Personnel Center. All data reported are extracted from the PDS-C from updated master personnel training records. Training data are submitted on all employees who have completed training received in a single period of 8 hours or more. System edits within the PDS-C prevent submission of data to OPM on OJT, LTFT nongovernment training in excess of 120 days, and employee-financed training or educational courses

taken during nonduty hours (self-development).

(1) Government-sponsored training also includes courses that are provided by the Air Force for employees without cost during nonduty time. If the length of training is 8 hours or more, EDMs should report this training by following the coding instructions provided in AFM 30-130, chapter 13.

(2) Since CPDF training data receives oversight agency and congressional review, EDMs and employee development specialists (EDS) must make sure that training completions are properly and promptly input to PDS-C. (See FPM supplement 298-1, appendix A, for the schedule of CPDF submissions.) Training completions that occur during the current fiscal year (FY) must be input to PDS-C before the end of the FY year because the CPDF program will not accept transactions once the end of FY year is passed. Likewise, the program will not accept prior year completions. Therefore, delinquent coding can result in Air Force-sponsored training not being shown or credited in the Annual Report of Training Activities.

d. Annual Report of Training Activities, RCS:1056-OPM-AN. This report provides the OPM with information about the nature and extent of federal training programs and their impact on improving government operations. This report supplements data provided through the semiannual CPDF update discussed in c above. An FPM bulletin in the 410 series is issued each year to provide updated instructions for the preparation of this report. OCPO/MPKT will notify CCPOs and command level Directorates of Civilian Personnel when to submit their input. Command level Directorates of Civilian Personnel will consolidate their base-level reports before submission to OCPO/MPKT.

30. Records Disposition. Documentation created by this publication will be kept and disposed of according to AFM 12-50, Disposition of Air Force Documentation.

31. Supplementation. MAJCOM supplements are forwarded to HQ USAF/MPK according to AFR 40-171, Civilian Personnel Publications.

BY ORDER OF THE SECRETARY OF THE AIR FORCE

OFFICIAL

CHARLES A. GABRIEL, General, USAF  
Chief of Staff

JAMES H. DELANEY, Colonel, USAF  
Director of Administration

**SUMMARY OF CHANGES**

This revision combines and supersedes AFRs 40-410, 40-411, 40-414, 40-417, 40-419, and 40-424. It is extensive and incorporates new requirements associated with training, financial management, and dictates the use of the Civil Service Reform Act of 1978.

## ESTABLISHING AN INSTALLATION TRAINING GUIDE (ITG)

**Part A—Purpose.** Due to unique local requirements and the options contained in this regulation, an ITG is needed to provide specific guidance for local training program operations. It should cover the what, where, when, who, and how aspects of sound program administration. The sole purpose of an ITG is to provide clear guidance for users so that training will be done systematically and efficiently.

**Part B—Format and Specifications.** The ITG can be established as an installation plan, or it can take the form of an instructional letter. Which format to use should be determined by local needs. Regardless of the format, the guide should be updated at the start of each calendar year and, as a minimum, include information on the following subjects:

- a. Role and composition of the Management Training Committee (MTC) or similar training review group.
- b. Responsibilities of managers, supervisors, employees, and the Training Manager (TM) in the identification and meeting of training needs.
- c. Annual training survey schedule(s).
- d. Information on special programs, financial planning, and priorities.
- e. Out-of-cycle processing procedures.
- f. Approval requirements.
- g. Affirmative Action objectives.
- h. Documenting training needs (such as DD Form 1556).
- i. Special instruction for competitive programs or career programs (such as Armed Forces College Program; LTFT; Graduate Logistics Program).
- j. Explain use and distribution of the Annual Installation Training Plan (AITP).
- k. Any special instructions.

## Sample 1

Base X, AFR 40-410, Supplement 1

Section C, paragraph 9, is supplemented as follows:

a. The \_\_\_\_\_ Training Guide

(1) Designation and Responsibilities:

(a) A Management Training Committee (MTC) is established to review and validate the annual training plan; act as a review panel for competitive training programs; and make recommendations, as appropriate, to the commander.

(b) The MTC will be composed of the heads of the following organizations or their designee: Comptroller; Engineering Squadron; Maintenance Squadron; Supply Squadron; Transportation Squadron; US Air Force Hospital; Services Squadron; Personnel; and Commanders of Tenant Organizations. The central civilian personnel office (CCPO) will be represented by the Employee Development Manager (EDM).

(2) Managers, supervisors, and employees will carry out their responsibilities as outlined in the basic document, AFR 40-410.

(3) Each year, during the month of *June*, the EDM will request inputs from all organizations for the annual training needs survey.

(4) The training needs survey will be submitted on DD Form 1556 (single cut). DD Form 1556 is to be submitted for training instances identified on the survey not later than 45 days before the actual start date, or as required by a specific program.

(5) The EDM will publish a schedule annually of call dates for the various training programs and outline nomination requirements for each.

(6) Out-of-cycle requests will be considered on a case-by-case basis and should be held to a minimum. These requests are to be submitted on DD Form 1556 along with a written justification, after the beginning of the fiscal year and should be held to a minimum.

(7) Quarterly, the EDM will furnish a computer product to each organization to review their completed and projected training requirements and to ensure that affirmative action goals are met or corrective action is taken, where necessary.

(8) Evaluation of training will be completed by employees within 30 days after return to duty and by supervisors within 90 days.

## Sample 2

Base X, AFR 40-410, Supplement 1

Section C, paragraph 9, is supplemented as follows:

a. The \_\_\_\_\_ Training Guide

(1) Designation and Responsibilities:

(a) A Management Training Committee (MTC) is established to review and validate the annual training plan; act as a review panel for competitive training programs; and make recommendations, as appropriate, to the commander.

(b) The MTC will be composed of the heads of the following organizations or their designee: Comptroller; Engineering Squadron; Maintenance Squadron; Supply Squadron; Transportation Squadron; US Air Force Hospital; Services Squadron; Personnel; and Commanders of Tenant Organizations. The central civilian personnel office (CCPO) will be represented by the Employee Development Manager (EDM).

(2) Managers, supervisors, and employees have certain responsibilities in the identification of training needs:

(a) Managers are responsible for carrying out the mission of the organization and identifying training needs that are new or that anticipated mission changes may generate.

(b) Supervisors are required to appraise the performance of their employees and discuss performance objectives with them. At that time, anticipated mission requirements, performance deficiencies, if any, and employee career objectives are identified to form an individual development plan. Those identified training objectives are then submitted for the annual training needs survey.

(3) The annual training needs survey will be conducted each year during the month of June for all organizations.

(4) The training needs survey will be submitted on DD Form 1556 (single cut). DD Form 1556 (set) is to be submitted for training instances identified on the survey not later than 45 days before the actual start date, or as required by a specific program.

(5) See table A1-1 for a schedule of call dates for various training programs.

(6) Nomination requirements for the above programs are as follows:

(a) Air Training Command (ATC/AFIT/AU) and Defense Management Education and Training (DMET) courses. Requirements are identified during the annual training survey. Follow guidelines set forth in AFM 50-5, USAF Formal Schools Catalog, and DOD Manual 5010-16-C, Defense Management Education and Training Program.

(b) Armed Forces College (Industrial College of the Armed Forces (ICAF), Armed Forces Staff College (AFSC), Air Command and Staff College

Table A1-1. Schedule of Call Dates.

Program	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
AFIT/AU/ATC/ DMET									X			
FEI							X					
Executive Seminar Centers							X					
Armed Forces Colleges	X											
Presidential Executive Exchange Program	X											
LEGIS Fellows	X											
LTFT-MAJCOM Funded			X									
Interagency Local Colleges & Universities							X					

(ACSC), National War College (NWC), and Air War College (AWC)).

1. Nominations are projected on a 2-year basis. Nominations are screened by the Installation Training Committee (ITC), sent to major command (MAJCOM) for its review and approval, and sent to Office of Civilian Personnel Operations (OCPO) for determining nominees for final selection.

2. Grade level criteria for NWC, ICAF, and AWC are GM-15 or above, and high-potential GMs-14. For ACSC and AFSC, the grade level is GS-12 or above, or high-potential GSs-11.

NOTE: For additional nomination criteria, see AFR 53-8, USAF Officer Professional Military Education System.

(c) LEGIS Fellows Program (three sessions per year) (OCPO Funded):

1. Nominations are made once, annually. Nominees must be GM-14 or above. Must have 2 years of federal service in the executive branch. Preferred nominees are members of the Senior Executive Service (SES), candidates, Cadre, or equivalent who have been designated for executive or management development.

2. Nominations are reviewed and approved by the MTC, sent to MAJCOM for its review and approval, and then forwarded to OCPO for final review and selection. Air Force nominees are forwarded to the Office of Personnel Management (OPM)/LEGIS Fellows Program, for final selection.

3. Additional nomination criteria will be furnished at time of screening.

(d) President's Executive Exchange Program (PEEP) (1-year program) (OCPO funded):

1. Nominations are projected on a 2-year basis. Nominations are limited to employees in grades GM-13 and above, having no significant private-sector experience.

2. All nominations are reviewed and approved by the MTC, sent to MAJCOM for review and approval, and then forwarded to OCPO for

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final Air Force review and approval. Air Force nominees are forwarded to the President's commission for final selection.

(e) Competitive, Long-Term, Full-Time (LTFT) Training Programs projected on a 2-year basis (base funded unless career program):

1. Nominating supervisors will be responsible for preparing nomination packages. They will be reviewed by the MTC. Selected nominations are forwarded by the CCPO to MAJCOM for final review and approval or to the Career Program Palace Team (OCPO/MPKC), as appropriate.

2. Nomination packets must include the following:

— Personal Information:

- Name of program for which nominated.
- Name of nominee.
- Social security account number.
- Current job classification—title, pay plan, series, and grade.
- Highest education level.
- Date of birth.
- Service computation date and length of service.
- Organization to which currently assigned.
- Brief description of current duties.

— General Criteria:

- State why nominee is being recommended as a candidate.
- Describe nominee's three most significant on-the-job accomplishments and dates.
- Describe nominee's potential for higher-level managerial or executive positions; that is, what are planned target positions and where located (organizationally and functionally).
- Cite specific examples of nominee's leadership abilities.
- Describe job relatedness of desired training and long- and short-range plans to use the knowledges, skills, and abilities (KSA) to be obtained from attending desired program.
- Describe nominee's demonstrated support of equal employment opportunity (EEO) principles and actions to achieve affirmative action goals.

— Nominee's Letter. Nominee will prepare a signed and dated letter to the chairperson of the MAJCOM or comparable organization Executive Development Council addressing the items listed below:

- Nominee's reason for wanting to participate in the specific program.
- Nominee's statement regarding why participation in the program is in the best interest of the Air Force.
- For GM-15 nominees, state how participation will help as an SES candidate or becoming a candidate.

— Complete DD Form 1556 and sign reverse of copy one (Continued Service Agreement (CSA)).

(f) Interagency Courses (Federal Executive Institute (FEI) and Executive Seminar Center Courses (ESCC) (OCPO funded)):

1. The FEI is for senior-level managers, SES, and selected GMs-15. Course announcements will be forwarded at the time of screening, giving details of available programs.

4 BSCCs are reserved for GMs-13 through GMs-15. Course catalog is available in the CCPO training office for review.

5 OPM offers, through its regional training centers, manager and supervisory development courses and a variety of technical courses dealing with such subjects as personnel, financial management, information systems, procurement-related subjects, etc. Course catalogs are available at CCPO training function.

(7) Out-of-cycle requests will be considered on a case-by-case basis and should be held to a minimum. Those requests are to be submitted on DD Form 1556, along with a written justification, after the beginning of the fiscal year.

(8) Application of the Annual Installation Training Plan (AITP):

(a) The EDM will produce the AITP from PDS-C.

(b) All functions will be provided their respective portions of the plan for use in monitoring needs, completions, and attainment of any affirmative action training goals.

(c) The EDM will provide quarterly update products, on an as needed basis, to all functions with their monitorship activity.

(9) Evaluation of training will be completed by employees within 30 days after return to duty and by supervisors within 90 days on copy nine of DD Form 1556.



**GUIDE FOR IDENTIFYING NEEDS, PRIORITIZING NEEDS, AND EVALUATING COMPLETED TRAINING AND PROGRAM OPERATIONS**

**Part A—Identification of Training Needs.** A valid training need may be masked by a wide range of influences unless handled as a performance objective. The objective is based on job specifications, future changes to work methods, or to meet individual employee job-related development or manner of performance either in the current or future tense.

**A2-1. Training Need Indicators.** Positive responses to the following series of indicators may reveal a training need:

**Table A2-1. Training Need Indicators**

General Indicators	
Are new equipment, systems, programs, or procedures being installed or slated for application in the near future?	Are significant changes in staff levels programmed (for example, major reorganizations)?
Are military-to-civilian conversions being accomplished?	Have inspection, evaluation, or audit reports highlighted conditions that may point to needed training?
Are contracting-out operations being contemplated?	Have significant Reductions-in-Force (RIF) taken place, or are future actions expected?
Are affirmative action goals such that skills training will be needed?	Has or will automation change the occupation or skills mix of the activity?
Is the "state-of-the-art" experiencing significant changes within certain scientific and engineering disciplines?	Are recruitment and retention problems becoming critical?
Have regulations been reviewed and PDS-C inquiries completed to ensure that directed training is planned and coordinated (for example, Labor Contract Negotiations and Drug and Alcohol Abuse).	

Specific Indicators	
What types and how many previously identified valid training needs were not met? Does the need still exist? (Use last fiscal year's AITP.)	Have individual employee performance problems been identified that were not caused by attitudinal or motivational factors?
Are formal training and development activities required by career management programs, recognized and understood?	Have staffing plans, program documents, Unit Manning Documents, and mission plans identified firm training requirements?
Are Individual Development Plans (IDP) screened to identify formal training needs?	Have positions been identified for Upward Mobility participants?
Have intern positions been established for intake of new personnel?	Has the organization gained new personnel through RIF?

**Table A2-1—Continued.**

Specific Indicators	
Has a co-op program been slated for implementation?	Are Worker-Trainee Opportunity Program (W-TOP) positions being set up?
Are Veterans Readjustment Act (VRA) placements being contemplated?	

**A2-2. Selecting the Method of Training.** The decision to select a formal training course or developmental experience requires careful consideration. Positive responses to any one or all of the following questions may indicate that formal training is not needed:

- a. Will a change in the method of doing the work result in the desired objective?
- b. Can a review of the work tasks for performance compliance eliminate the need for training?
- c. Would improved communications solve the performance problem?
- d. Can on-the-job training satisfy the need?
- e. Could self-development provide the KSAs needed to improve performance, and has the employee been encouraged to participate?
- f. Would a detail or informal developmental experience, rather than formal training, satisfy the training need?
- g. Will formal training be directly transferable to the work situation?

**Part B—Prioritizing Training Needs.** Once training needs have been properly determined, the next step is to prioritize or rank those needs.

**A2-3.** The determination of training priorities is a critical judgment process accomplished by managers and supervisors. The process should involve comparison of the predominant variables listed below to the training need that has been identified:

- a. **Timing.** When must the training be accomplished? Is the timing critical to successful accomplishment of work functions, tasks, responsibilities, and, ultimately, mission activities? Would delays be adverse to effective work completion?
- b. **Cost and Benefit Ratio.** In terms of money and time expenditures, are the results of training expected to outweigh those costs? Can the benefits be readily quantified and tied to valid methods for measuring results?
- c. **Situation and Environment.** What are the driving forces behind the training need? Are these forces readily apparent, translatable to individual employee needs, and recognized by reviewing officials? Some of the more critical and recognizable forces are:

(1) Acquisition of new systems or machines (weapons, computers, programs, etc.) that need highly specialized skills to maintain and operate.

(2) Radical technology shifts or new directions in the state-of-the-art.

(3) Civilian work force dynamics involving work force expansion, losses, quits, retirements, promotions, and reassignments. (Analysis done by staffing function in preparing the staffing plan provides the data necessary to assess this influence.)

(4) Programs slated for implementation at a specified future date where additional skills will be needed.

(5) Military-to-civilian manpower space conversions where labor market conditions are known to be limited in supplying the associated skills.

(6) Based on a formal work plan and performance standard, an employee's performance deficiency has been attributed to a definite formal training need and not to poor work habits or attitudinal problems.

**d. Impact Estimation.** Can a "bad case" situation be depicted and rationalized to show tangible effects of an unmet training need? Can lack of training be tied directly to a production, program, or mission problem? Can impact estimates be demonstrated by cost saving or avoidance analysis? Such estimates must be documented and accompany the AITP submission to higher headquarters.

**A2-4.** Each variable must be analyzed carefully and given an adjective rating of minimal (5 points), moderate (10 points), or extensive (15 points) based on a best fit to the circumstances. Once all variables have been rated and the corresponding point values added, the total score should be converted to a code as reflected in the following table:

**Table A2-2. Point Value Priority Code Conversion Table**

Total Score Range	Item 20e DD Form 1556 Priority Code Entry	PMS PDS-C Code Entry	Conversion Code
20 to 29	III	4	D
30 to 39	II	3	C
40 to 49	I	2	B
50 to Up	I	1	A

**A2-5.** The rating scale, score, and conversion technique are derived from the two priority definition systems used in the Air Force. These are:

**a. Department of Defense (DOD) Priorities:**

(1) *Priority I*—Training that must be accomplished in the ensuing annual training cycle or it will have a direct adverse effect on mission accomplishment.

(2) *Priority II*—Training which is required to provide for systematic replacement of skilled employees through career management programs and cannot be deferred beyond the ensuing training cycle because it will have an adverse effect on mission accomplishment in

the period following.

(3) *Priority III*—Training which is required for an employee who is performing at an adequate level of competence, which will increase his or her efficiency and productivity and may be accomplished after Priority I and II needs have been met, but would not be in the DOD or public interest to defer beyond the ensuing training cycle.

**b. Pipeline Management System (PMS) Priorities:**

(1) *A—Mission Essential*—Inability to continue operation if the requested training is not provided.

(2) *B—Critical Mission Impairment*—Will severely restrict operation if the requested training is not provided.

(3) *C—Deficiencies in Mission Support*—Failure to support this training will result in problems that may ultimately cause mission impairment.

(4) *D—Personnel Competence or Career Progression Reduced*—Although short-range mission impact is not anticipated, the lack of training will result in less than satisfactory skill and knowledge levels of personnel involved and will, ultimately, impair mission accomplishment or impede the normal career progression of Air Force personnel.

**A2-6.** Management Training Committee review actions should follow similar analyses in validating installation and command level training and financial management plans. When appropriate, committees may alter priority codes. When this is done, assurance must be made that changes are entered into PDS-C and truly reflect a command-wide priority determination.

**A2-7.** EDMs and Training and Development Resource Managers (TDRM) should provide individual supervisors, managers, and respective committees technical advice and assistance in the overall priority determination process.

**Part C—Evaluating Courses and Developmental Experiences**

**A2-8.** Follow-on job performance is the most reliable method for evaluating the effectiveness of any training course. Before accomplishment of training, supervisors should select an evaluation method that can best measure the performance or productivity objective which the training is expected to enhance. The objective may be to improve work quality, quantity, timeliness, or any combination of these elements. Table A2-3 provides examples of evaluating methods which may be used to measure the attainment of specific training objectives.

**A2-9.** Another important evaluation tool is the course critique. Employees attending formal training or participating in a developmental experience should be solicited for their assessment of value.

Table A2-3. Evaluating Completed Training

Objective and Element Items	Evaluation Measurements
Decrease break-in time of new employees: Timeliness Timeliness	If some employees participate in a planned program of training and others do not, have supervisor record date when each reaches an acceptable level of production. Determine average time required to bring trained workers and those who receive no training to an acceptable level of production.
Increase employee's production rate: Quantity Quantity	Using production records, compare production rates before and after training. Compare production of trained employees with that of employees not receiving training.
Eliminate bottlenecks: Quantity Timeliness Quantity	Compare production records before and after training. Determine whether deadlines were met sooner by eliminating bottlenecks. Determine number of staff hours saved per month.
Reduce operational errors: Quality Quantity	Use records of supervisors and inspectors on rejected work and salvage. Compare before and after training. Determine average number of rejects, errors, or amount of salvage per worker before and after training.
Decrease amount of time equipment is withdrawn from production for repairs: Quantity Timeliness Quantity Quality Quantity	Use maintenance records indicating number of hours per month equipment is in for repairs and the cost of repairs or maintenance. Compute amount of time equipment is out-of-service for each worker or unit. Compare average repair time or cost per trained worker or unit before and after training. Show difference in production. Compute hours saved.
Decrease number of accidents: Quantity Timeliness Quality Timeliness Quantity Quantity	Use compensation, safety, and health unit records showing frequency and severity of accidents. Show amount of time lost. Compare safety records of groups trained with those not trained to determine whether improvement can be traced to training. Show amount of time saved by training. Determine cost of accidents for the two periods compared. Show cost of time lost.
Introduce new methods and procedures: Timeliness Quality	Compare, if possible, time needed by trained and untrained employees to adapt themselves to new procedures. Compare effectiveness of the use of the new procedures by the two groups.
Improve work habits: Quality	Compare rating of work habits before and after training, based on work habits considered most important to performance of the job.
Increase skill level: Quality Quality Quantity	Compare work produced before and after training. Rate skills 30 to 90 days after training is completed to determine retention. Determine if the increased skills have been applied to increase production.
Improve attitude or morale: Quantity Quality	Compare, before and after training, the overt evidence of attitudes and morale which indicated the need for training; for example, the high rate of absenteeism or disciplinary actions required. Compare with similar groups not trained.

**A2-10.** The major purpose in evaluating training is to determine if training objectives have been achieved. The real value of course evaluation data, however, is its use in:

- a. Determining performance and productivity improvements.
- b. Making program changes or modifications; for example, eliminating training of little value, changing content or method of training, reassessing or revising course objectives, and redirecting emphasis into more important or critical areas.
- c. Keeping management informed of training results and activities.
- d. Formulating future plans for training and development.
- e. Providing information to higher headquarters for the purpose of improving management decisions and budget and program support.

f. Compiling quality reports which include:

- (1) Narrative statements as to the value of training to the installation.
- (2) Estimates of the extent to which economies and improved operations have resulted from training.

**A2-11.** Supervisor and Employee Evaluation, DD Form 1556 (single cut and 10-part form).

#### **Part D—Evaluating the Overall Training Program**

**A2-12.** AFR 40-5, Evaluation of Personnel Management and Administration, provides extensive guidance concerning evaluation of the overall training function.

EDMs, supervisors, and managers should become familiar with this guidance and apply it when evaluating the total training program. One of the primary uses of training course evaluation data is keeping management informed of training results and ongoing activities. The EDM must be able to look beyond the evaluation of individual training courses and integrate them into an evaluation of the total training program. The program evaluations should assess what is accomplished versus what was planned and the impact of any shortfalls. The ultimate purpose of evaluation is to obtain better information from which to make decisions, better information to guide efforts to improve. The CCPO training function should provide the Management Training Committee or Civilian Employee Cost Management Committee (CECMC) with periodic briefings (quarterly and end-of-year) on the overall status of the installation's training program.

**A2-13.** Sources of program evaluation data include assessment of the organization and administration of training, the training itself, and the results of training. PDS-C provides the primary source of information for assessing the AITP, financial plan, training completions, and expenditures. The EDM should become familiar with the definition and use of all data elements discussed in AFM 30-130, volume IV, Civilian Personnel, chapter 13. Familiarity and use of the data elements are critical to the construction of base-level inquiries and overall program evaluation. By utilizing all possible sources, a quality assessment can be made of adequacy of planning and the value of employee training and development.

## GUIDE FOR FINANCIAL RESOURCES PLANNING AND BUDGET EXECUTION

**Part A—Definition of Terms.**

**A3-1. Bogey**—A funding level target issued by budget officials for programming purposes. OCPO/MPKT passes on to MAJCOMs and comparable organizations bogies for Financial Plan Year (FPY) programming usually in April or May. MAJCOMs and comparable organizations, in turn, issue guidance for bases to adjust PDS-C training files in line with bogey limitations.

**A3-2. Commitment**—A preliminary action taken to designate funds for future expenditure which usually involves the use of AF Forms 9, 405, or 616. A commitment action precedes a formal obligation and serves to set a funding estimate and reserve funds for future expenditures.

**A3-3. Direct Costs**—All costs charged to Element of Expense Investment Code (EEIC) 553. (See table A3-4.)

**A3-4. EEIC**—Codes in the fund citation that indicate what expenses are allowed. (See table A3-4 for relationship between EEICs and PDS-C data.)

**A3-5. Fund Citation**—Accounting classification made up of prescribed numbers used in recording and paying specific costs. (See table A3-3 for PE 88751 training fund citation.)

**A3-6. Indirect Costs**—All costs charged to EEICs 407, 408, 409, 421, 463, and 469. (See table A3-4.)

**A3-7. Major Force Program (MFP)**—The broadest category or division of the budget.

**A3-8. Obligation**—An authorization to spend a set amount of funds for which accounting entries will be made. Temporary duty orders, DD Forms 1610 and 1556; and AF Forms 9, 405, and 616 are obligating (and commitment) documents.

**A3-9. Operating Budget Account Number (OBAN)**—A numbered account that identifies an installation's or organization's OBAN. Each servicing CCPO has a separate OBAN to manage local PE 88751 training funds.

**A3-10. Operating Budget Authority (OBA)**—An approved funding level from which subsequent obligations can be made.

**A3-11. Program Element (PE)**—A well-defined subdivision of an MFP; for example, PE 88751 (see the definition in AFM 300-4).

**A3-12. Program Objective Memorandum (POM)**—The Air Force portion of the DOD Five-Year Defense Plan (FYDP) that specifies and explains total resource requirements.

**A3-13. Resource Center and Cost Center (RC & CC)**—Six-digit code in fund citation to designate organization or type of cost incurred. Definitions are contained in AFR 170-5, Responsibility Center/Cost Center Codes. Career Program and Functional Area Identifications in PDS-C (central table 150 codes) are linked to the 10 official RC & CC codes used in PE 88751.

**Part B—Forming the Operations Operating Budget (OOB)—Financial Planning and Programming**

**A3-14. Forecasting.** Reliable forecasting of training courses or development by type, trainee requirements, and associated costs is critical to meeting mission training requirements and successful attainment of future budget needs. Proper management of the needs identification and prioritization process will lead to greater accuracy of requirements which the Planning Programming, Budgeting System (PPBS) was designed to achieve. For this reason, supervisors, managers, EDMs, and appropriate committees should ensure that forecasting takes into account all known requirements and that the best estimates are provided by program and operations officials. Efforts of a lesser magnitude could adversely affect outyear funding simply because preliminary financial planning did not provide for the time-phased matching of resources with needs. Table A3-1 shows the PPBS timetable for planning the operating budget year (OBY), programming the FPY, and budgeting or executing the current fiscal year (CFY).

**A3-15. Programming the FPY.** This action involves finer tuning of the next year's projected budget based on bogies issued by OCPO/MPKT. Steps to be taken during the programming process are:

a. Obtain total funding requirement and determine the percentage funding level factor. For example, \$10,000 bogey and a \$20,000 requirement equals a 50-percent funding level.

b. Recompute by multiplying the funding requirement for each priority of training by the appropriate adjustment factor (percentage).

c. Cover as much of the highest priority training requirements as the funding level permits. This should establish a training priority funding level cutoff.

d. Designate training requirements below the line as deferred requirements for possible inclusion in the OBY.

e. Prepare preliminary FPY budget for presentation to and review by the MTC or the CECMC.

f. Adjust, as necessary, within bogey limits and committee determinations. (See AFM 30-130, volume IV, chapter 13, for coding guidance.)

g. Prepare impact statements covering the unmet training requirements. For example, what are the quality, quantity, timeliness, or productivity problems that may accrue to unmet needs? Can a mission or program problem be linked to the deferment of training?

h. Advise key managers of the funding level for their training requirements. (PDS-C Output Products.)

**A3-16. Planning the OBY.** The criticality of best estimate planning and accuracy for the OBY cannot be overemphasized. It represents the first year of the POM which sets the stage for future funding allocations. Programs not receiving favorable POM placement may not be adequately funded in the outyears.

a. Questions to be resolved in the OBY planning process are:

(1) Will FPY deferred training requirements cause a change of priorities?

(2) What work force changes can be predicted 3 years hence? How many retirements? What skills will be needed? What is the state of the present labor market and what are the prospects for the future?

(3) What effect will the Federal Equal Employment Opportunity Recruitment Program and installation affirmative action plans have on training needs?

(4) Are there known mission changes that will need new skills? Can full performance level skills be acquired readily? If not, will training be needed to develop those skills?

(5) What continuing training and educational requirements are needed to handle employment turnover or to keep existing employees proficient?

(6) What are the managerial, supervisory, and career development needs expected to be?

b. Once these and similar questions have been answered, the tasks remaining for EDMs and respective committees are to:

(1) Reassess training priorities.

(2) Develop impact statements covering unmet needs which may involve use of statements developed previously for any FPY deferred requirements.

(3) Prepare exhibits for the budget presentation that clearly demonstrate needs in terms of cost-benefit analysis, results to be gained from training, and any problems expected to arise if needs are deferred or rejected.

c. Copies of presentation and exhibit materials should be forwarded by the installation level EDM to the parent command level TDRM for use in the command budget process.

### Part C—Executing the CFY Budget

#### A3-17. Programming the Bogey Received From OCPO/

**MPKT.** As a minimum, the following checkout items should be considered:

a. Are each fiscal quarters' commitments and obligations kept in line with the bogey?

b. Have respective committees and key managers been advised of any difficulties in meeting bogey limits? Do they decide the final adjustments, if any?

c. Has the need to move funding between quarters been fully analyzed and justified? Does the justification include:

(1) An explanation of the dollar amounts and time frames needed for the movement?

(2) Which OBAN or OBANs are to be affected?

(3) The MAJCOM or comparable organization identification?

(4) A revision of quarterly obligations based on the movement?

d. Has the need for additional funding based on mission essential needs been fully analyzed and justified? Does the justification include:

(1) An explanation of why the additional funds are needed?

(2) A statement as to why the addition was not included in the AITP?

(3) An impact statement explaining the results to be expected if funding is not made available?

(4) The OBAN or OBANs to be affected?

(5) Identification of the parent MAJCOM or comparable organization?

(6) A revision of quarterly projected obligation based on the additional funding?

e. Have excess funds been identified? If so, has the condition been reported to OCPO/MPKT? Does the report include:

(1) A statement of the funding amount and reasons for the excess?

(2) OBAN or OBANs affected by the excess?

(3) Identification of the parent MAJCOM or comparable organization?

**A3-18. Financial Transactions and Documentation Needed To Accomplish Training.** Throughout the Current Budget Year (CBY), specific obligation and expenditure of funds will occur. Several processing and documentation variations will be encountered, depending on the training source selected.

a. Table A3-2 reflects the processes and documentation involved with respective training source selections.

b. Training expense accounting is done by fund citation. Therefore, construction of the fund citation must be accurate. Components of a fund citation are in table A3-3.

**A3-19. OBAN Management.** The linkage between training forms, PDS-C, and the accounting system is designed to accomplish sound fiscal management and accountability. If PDS-C entries are timely and

accurate, a more rapid balance and reconciliation with the accounting system can be made. Since the accounting system tracking of actual expenses normally lags in time, PDS-C becomes very critical in managing the CBY to avoid over obligations.

a. The relationship between the automated accounting system and PDS-C used in the reconciliation process is displayed in table A3-4.

b. Close attention to the regular review of financial status during the CBY life cycle ensures sound budget execution. To accomplish this important function, several tools are available for use. How well the tools are used, however, largely determines the success of sound budget execution. Table A3-5 provides guidance on OBAN management.

A3-20. Closing Out the CFY. The final step in the bud-

get execution involves "balancing the books." It requires a more concentrated review of fund status and end-of-year obligations. Bringing the closeout in under or at deadline ensures a smooth transition from CFY to FPY and better supports the future budget-building process. Late delays hinder successive staff budget activities and can result in the readjustment of bogies. Positive responses to the following should ensure a proper closeout:

a. Have all commitments been posted not later than 31 August?

b. Have training costs extending into the next fiscal year been properly annotated?

c. Have all obligation documents been delivered to the AFO not later than 15 September or the nearest working day?

d. Have all obligations and accounts been reconciled and closed out not later than 24 September or the nearest working day?

Table A3-1. Training Program Financial Planning Timetable.

Responsible Activity	Action	Dates
Base	Survey, review, revalidate, program and plan actions via PDS-C File for (OBY), which commenced 1 October, (FPY)—the upcoming out-year and the (CFY), the 2d outyear	July August September
OCPO	Retrieve quarterly projected expenditure rates for allocation of next fiscal year's funds and issue quarterly OBA's for CFY	September
Command Level Director of Civilian Personnel (DPC)	Review, validate, feed back to bases, release through PDS-C	October November December
OCPO HQ USAF/MPK	Prepare and present POM requirements (derived from the OBY)	November December
OCPO	Review and validate through PDS-C	January February
OCPO	Submit the OOB to HQ AFMPC/ACB for transmittal to HQ USAF/MP/MPK and Operations Budget Review Committee	March
OCPO	Issue annual MAJCOM bogies for the FPY	April May June

TABLE A3-2

TRAINING SOURCE AND FINANCIAL TRANSACTIONS TABLE	
When the most effective source is to	then the transaction involves
use a nongovernment training course designed specifically for Air Force needs and direct trainee costs are involved	EDM preparation of an AF Form 9 authorized by an approved DD Form 1556. The AF Form 9 must contain specifications of the type training needed to satisfy the need. Payment is made with SF 1034 when processed.
use nongovernment training that is open to the general public on a regularly scheduled basis and has standard tuition, books, and fees charges	EDM preparation of a DD Form 1556, when cost exceed \$10,000 the contracting officer should be consulted to determine if AF Form 9 would be the more effective and efficient process for obtaining the training. Payment is made either with SF 1034 or SF 1080 if training is being used by other federal agencies and transfer of appropriation is needed.

TABLE 3-2—Continued

When the most effective source is to	then the transaction involves
arrange for continuing education services with a recognized educational institution	EDM preparation of a DD Form 1556 which authorizes the establishment of an educational services agreement or extension of one already in existence (see Defense Acquisition Regulation; part 900). As above, the EDM and contracting officer should confer on the documentation to be used.
use a government training facility other than DOD	EDM certification of a DD Form 1556 prepared and submitted by requesting official. Payment of direct cost is made with SF 1080.
use DOD training facility other than Air Force	EDM certification of DD Form 1556 prepared and submitted by requesting official. Payment is made with DD Form 448. NOTE: If Air Force is the training provider, then DD Form 448-2 is used to accept funding support from other components.
use an Air Force facility	EDM certification of DD Form 1556 prepared and submitted by reporting official which obligates funds and justifies payment of indirect costs.
use a contractor or vendor source to satisfy a special training requirement	EDM preparation of an AF Form 403 for submission to Air Training Command (ATC) for contract or in-house determination source.

Table A3-3. The Components of a Fund Citation for Training.

Fund Citation:  
 a. 57 3 3400 30 3 57 \*XX 8.16 A8 408 409 S525000 (\_\_\_\_, TH\_\_\_\_)  
 Department \_\_\_\_\_  
 Fiscal Year \_\_\_\_\_  
 Appropriation \_\_\_\_\_  
 Fund Code \_\_\_\_\_  
 Fiscal Year \_\_\_\_\_  
 Operating Agency Code \_\_\_\_\_  
 Operating Budget Account Number (OBAN) \_\_\_\_\_  
 Responsibility Center/Cost Center Code (RC/CC) \_\_\_\_\_  
 Major Force Program \_\_\_\_\_  
 Element of Expense/Investment Code (EEIC) \_\_\_\_\_  
 Accounting and Disbursing Station Number \_\_\_\_\_  
 Control Number \_\_\_\_\_  
 AF Form 405 Advise Number \_\_\_\_\_

\*XX Use appropriate OBAN alphas.

TABLE A3-4

RELATIONSHIP BETWEEN EXPENSE ELEMENT INDICATOR CODE (EEIC)  
 AND PERSONNEL DATA SYSTEM-CIVILIAN (PDS-C DATA)

If the cost is for	then the EEIC is	and the PDS-C CQ data element is	and the PDS-C training history cost category is
tuition	553	INDIV-TUITION-TNG-COST	Direct Costs
books and tuition-related fees	553	INDIV-BOOKS-FEES-TNG-COST	
miscellaneous contract service registration fees	553		
administrative costs (costs necessary to develop, revise, or update the training) aids, equipment, instruction materials and supplies (See Note)	553	INDIV-AID-EQUIP-TNG-COST	
pecially designed courses developed for the Air Force	553	TOTAL-CONTR-TRNG-COST	
contract training facility quarters	553	TOT-RENT-SPA-TNG-COST	Indirect Costs
per diem incidentals	409	INDIV-PER-DIEM-TNG-COST	
travel, transportation and related costs	407/408	INDIV-TRAVEL-TNG-COST	
permanent change of station (Long-Term, Full-Time training)	421/463/469	INDIV-PCS-LTFT-TNG-COST	

NOTE: EEIC 592 (base support funds) will be used for registration fees and funds covering related expenses of participants for attendance at meetings whose presence is necessary for adequate Air Force representation in private associations and activities *not* convened for the purpose of training.



Table A3-5. Operating Budget Account Number (OBAN) Management Tools and Uses.

Tool, User, and Source	Description
"Operating Budget Ledger" EDM, AFO System	Product displays annual and quarterly dollar loads, quarterly expenses paid/unpaid/on order, obligations, commitments, and unobligated balance. Used to project expense rates and identify the overall need to make adjustments.
"Responsibility Center (RC) Manager Monthly Report", EDM, AFO System	Product displays dollars by EEICs and is sorted by first two digits of RC & CC to show totals for each MAJCOM, major units, and tenants. It also includes obligation percentage rates. Used for finer projection analysis.
"RC Manager Cost Center Report", EDM, AFO System	Product consolidates dollars by RC & CC and is a useful tool for providing financial status feedback to managers and training committees.
"Oban Management Report", EDM; AFO System	Summary report displaying total dollars by EEICs. Helpful in monitoring entire OBAN dollars.
"Requirements File (CQ) Data", EDM, PDS-C	DESIRE inquiries in a variety of formats to satisfy management's needs.
"Annual-TRG-Plan", EDM, PDS-C	CQ PDS-C requirements file (CQ) validation DESIRE. Sorted by MAJCOM/office symbol. Used to display annual training and financial plan for supervisor, management training committee, and commander approval and information.
"Fund Status For PE 88751 MAJCOM/SOAs", MAJCOM and comparable organization TDRMs, AFO System at Randolph AFB	Provided monthly by OCPO/MPKT. Displays consolidated dollar data from all bases under MAJCOMs or comparable organizations. Useful in considering requests for adjustment from bases and to track obligation rates.
"Fund Status for PE 88751 by EEIC", Servicing MAJCOM and comparable organization TDRMs, AFO System at Randolph AFB	Provided monthly by OCPO/MPKT. Displays total OBAN dollars by EEIC. Used to track the performance status of each OBAN.
"Actual Expenses Paid", Servicing MAJCOM and comparable organization TDRMs, AFO System at Randolph AFB	Provided monthly by OCPO/MPKT. Displays actual expenses paid by each OBAN. Costs can be compared with ATLAS inquiry in HAF file displaying costs that have been entered by the base Employee Development Specialist (EDS) in the training history area. It also verifies cost being reported to OPM through the Civilian Personnel Data File (CPDF).
"Requirements File (CQ DATA)", MAJCOM/TDRMs, Managers, PDS-C	ATLAS inquiries in a variety of formats to review training requirements established by subordinate bases.
("All AFO Reports)", OCPO/MPKT, AFO System	Used to monitor base OBANs.
("All HAF PDS-C Products)", OCPO/MPKT, PDS-C	Used to compare PDS-C and accounting cost data to project budget justifications and verify costs reported to OPM through CPDF.

## GUIDE FOR SELECTING TRAINING SOURCES

**Part A—Local Installation-Level Training**

**A4-1. Self-Development.** Self-development is that education, training, or other developmental activity which is self-initiated, funded by the employee, and taken on the employee's own time to better qualify the employee for his or her work or profession, or to contribute to his or her career opportunities.

**A4-2. On-the-Job Training (OJT).** OJT is planned, organized, and job-related instructions given at the worksite. An analysis of the major job elements and related knowledges, skills, and abilities (KSA) form the basis for setting up an OJT plan. Special emphasis should be given to those KSAs which can best be learned in the actual work situation. The job analysis process used in Instructional Systems Development (see AFR 50-8, AFM 50-2, and AFP 50-58, volume II) is also useful in planning OJT. For guidance on conducting OJT, see AFR 50-23, On-the-Job Training.

**A4-3. Formal Training Programs.** These programs are identified as those which include:

- a. A written, detailed task analysis of the job to be performed (AF Form 1320).
- b. Criterion objectives that identify the specific KSAs required to successfully perform the job.
- c. Methods, performance tests, or measures to evaluate student progress.
- d. A written plan which establishes the sequence of learning activities and designates the methods, media, and equipment to be used.
- e. Continuous evaluation, feedback, and interaction at each step to make sure the plan is meeting its objective; that is, the individual's achievement of KSAs required for successful job performance.

**A4-4. Proficiency Training.** Training that has as its purpose to improve performance, maintain currency or develop new KSAs (competencies) required to perform successfully in current position and grade.

**A4-5. Developmental Training.** Training that has as its purpose the enhancement or development of KSAs (competencies) which have been determined necessary to progress and perform successfully in higher level positions for which the individual may qualify in the future.

**Part B—Air Force and Other DOD Facilities**

**A4-6. Air University Seminar Programs.** AFR 213-1, Operation and Administration of the Air Force Education Services Program, designates the base Education Services Officer (ESO) as action officer for organizing,

publicizing, and supporting these programs. The EDM works with the ESO to identify potential civilian students and to reserve civilian allocations in the programs.

a. Air War College (AWC) Associate Program (Nonresident). Civilian employees, GM-13 and above, are eligible and should be encouraged to take part in this program. The servicing ESO is the primary source of information on entrance requirements.

b. Air Command and Staff College (ACSC) (Nonresident Seminar Program). Civilian employees, GS-11 and above, are eligible to take part in this program. Civilian spaces may be obtained through contact with the ESO. Supervisors and managers, at these grade levels, are encouraged to take part. The list of installations where nonresident seminars are conducted is contained in AFM 50-5, USAF Formal Schools Catalog, chapter 4. The correspondence versions of these seminars are described in the US Air Force Extension Course Institute (ECI) catalog.

**A4-7. USAF Extension Course Institute—**The ECI supplements formal training programs and provides courses for career broadening for both military and civilian employees. ECI career development courses will be considered for integration with civilian OJT programs. Each of these courses is directly related to a specific military Air Force specialty code or group of Air Force specialty codes. Many civilian positions contain duties that directly correlate with these military Air Force specialty codes. Other civilian employees may desire to take these courses for career broadening purposes. These courses are described in the US Air Force ECI catalog. The basic directive is AFR 50-12, Extension Course Program. Training and Development Managers must monitor this program to ensure that completion rate is as near 100 percent as practicable.

**A4-8. Air Training Command (ATC) Schools and Courses.** With few exceptions, all ATC schools and courses are managed through the Pipeline Management System (PMS). (See AFM 30-130, volume IV, chapter 13, for instructions on requesting spaces.) Requirements are identified during the annual training survey. Out of cycle requirements and procedures for processing special training are covered in AFR 50-9.

a. ATC Technical Training Schools. ATC conducts or arranges for technical training. AFM 50-5 contains course descriptions, prerequisites for attendance, location, and other information on these courses. Following is a brief description of the kinds of training administered by ATC:

(1) Type 1—Contract Special Training. This is formal training contracted with civilian industrial or educational institutions under AFR 50-9. It may be

conducted at either the contractor's location or on an Air Force installation.

(2) Type 2—ATC Special Resident Training. This is one-time formal training conducted by ATC instructors at an ATC installation or operating location under the provisions of AFR 50-9.

(3) Type 3—Resident Regular Training. This is continuing formal training conducted at an ATC installation. It includes basic, lateral, advanced, and supplemental courses.

(4) Type 4—Field Training. This is special or regular onsite training conducted by a field training detachment or by mobile training teams.

(5) Type 5—Other Agency Training. This is special or regular formal training conducted for the US Air Force by the Departments of the Army, Navy, DOD, or other government agencies, or by Air Force activities other than ATC.

b. ATC Professional Schools. ATC also conducts or arranges professional education that is available to meet civilian training requirements. This training is conducted by activities such as: AWC, ACSC, Academic Instructor and Foreign Officer School, Leadership and Management Development Center (LMDC), and Air Force Institute of Technology (AFIT).

(1) Requirements for attendance at these schools will be identified in the annual training survey with projection over a 3-year period, and recorded in Personnel Data System-Civilian (PDS-C) and on the Individual Development Plan (IDP). Armed Forces College Program selection will be on an Air Force-wide competitive basis by central selection panels convened by OCPO. Panel members will be functional managers who are knowledgeable of the curricula and of the course objectives and methods. The panels are authorized to select employees for the program for which nominated or for an alternate program for which the nominee meets prerequisites. Such alternate selection will be based upon the panel's knowledge of program content and upon the employee's background, current position, developmental needs, and demonstrated potential. Central selection panels will consider any priorities established by MAJCOM and comparable organization panels, but final ranking and selection is the responsibility of the central panels.

(2) The AWC is the senior level Air Force professional military education (PME) school. This 10-month, graduate-level study program focuses on the strategy and tactics of theater warfare. Eligibility and selection criteria are in AFR 53-8. Nominations are requested annually (2-year projection) by OCPO/MPKT.

(3) The ACSC is the intermediate level Air Force PME school. This program is designed to prepare students for assuming increased responsibility, both on the staff and in command. Eligibility and selection criteria are in AFR 53-8. Nominations are requested annually (2-year projection) by OCPO/MPKT.

(4) The Academic Instructor and Foreign Officer School is designed to prepare students for assignments involving curriculum development and instruction. Prerequisites and course description are in AFM 50-5.

(5) The LMDC offers a variety of specialized management training courses (personnel, comptroller, chaplain, and Staff Judge Advocate). Course descriptions and prerequisites are in AFM 50-5.

(6) The AFIT conducts short- and long-term credit and noncredit education programs in scientific, technological, managerial, medical, and other fields located at Wright-Patterson AFB. The AFIT conducts continuing education programs. Program responsibilities are stated in AFR 53-11, Air Force Institute of Technology. Courses, prerequisites, and procedures are described in AFM 50-5. Requirements for these technical and professional courses are entered into PDS-C and, with few exceptions, are managed through the Air Force PMS. Also see appropriate Career Program volumes to AFR 40-110 for selection criteria and procedures.

A4-9. Department of Defense Education and Training Programs. Defense Management Education and Training (DMET) Program. The DMET program provides specialized education and training designed to enhance the performance of personnel engaged in management functions throughout the DOD. The program promotes uniform implementation of DOD policies, directives, and instructions. Headquarters ATC is the Air Force focal point for Air Force-sponsored DMET courses. Program responsibilities are stated in AFR 53-21, Defense Management Education and Training (DMET) Program. Courses, prerequisites, and procedures are described in the DMET Catalog (DOD Manual 5010.16-C). All DMET courses are managed through the PMS when funded by ATC.

A4-10. Department of Defense Joint College Programs. Civilian employees with recognized potential may attend the NWC, the ICAF, and the AFSC. Eligibility and selection criteria are in AFR 53-8. Requirement projections must be made on a 2-year basis through PDS-C. Civilian allocations of quotas for attendance at the joint college are made directly by the Assistant Secretary of Defense, Manpower, Reserve Affairs and Logistics (DOD Instruction 1430.5, Civilian Employee Training Policies and Standards).

#### Part C—Developmental Assignments

A4-11. This source of training is designed to prepare employees for future assignments or to cross train to improve proficiency on the current job. Developmental assignments range from informal OJT assignments such as task force and committee assignments, understudy, and temporary replacement of employees absent from work, to more formalized career broadening and flow-

through assignments (see AFR 40-110, to be published), and others such as the President's Executive Exchange Program (PEEP). Developmental assignments may be within the Air Force, at the DOD, at other government agencies, or outside the federal service with industry, educational institutions, or state or local governments.

a. Developmental assignments of 30 days or more are recorded as a detail, reassignment, or other appropriate personnel action outlined in FPM supplement 296-33 when the assignment meets any of the following criteria:

(1) Within the Air Force but to a different organizational level; for example, base, center, MAJCOM, Headquarters Air Force (HAF), etc.

(2) Outside the Air Force.

(3) To a position at a different grade, occupational series, or KSA requirement.

(4) To a position requiring different supervisory or managerial skills (see PDS-C supervisory level codes (PDS-C table 114) and associated definitions to make a determination).

b. Details of 90 days or more for general manager (GM) employees will require written performance requirements and standards for evaluation as a means for making merit pay determinations. See FPM chapter 300 and AFR 40-321, Details Within the Air Force, for guidance on details of more than 120 days and for limitation of details to higher grade positions.

c. The competitive merit selection process will be applied as required by staffing and career program regulations. For exceptions, see FPM chapter 536. Appropriate Nature of Action codes from PDS-C table 85, will be entered in employee's automated record.

d. Developmental assignments established for a specific career program will be centrally managed by the OCPO Career Management Division, as specified in the implementing career program directive.

**A4-12.** Department of Defense-Wide Training Agreement for Rotational Assignments for Development of Key Personnel of the DOD. This agreement allows for the assignment of employees across functional, DOD component, and federal agency lines for 6 months to 3 years under flexible qualification determinations. Assignments are subject to postaudit, however, and require the preparation of a work plan to include performance requirements against which the employee will be evaluated. Care must be taken to make sure that employees will not suffer loss of credit for cash awards, merit pay, or promotion consideration as a result of their participation in the program.

#### **Part D—Interagency Training Programs**

**A4-13.** Standard courses and programs offered by the Office of Personnel Management (OPM). These include programs that are developed and conducted by the OPM, such as the Federal Executive Institute and

Executive Seminar Center programs. Air Force participation in these courses is centrally funded and administered by OCPO/MPKT. The OPM also offers, through its regional training center (RTC), manager, and supervisory development courses and a variety of technical courses dealing with subjects such as personnel, financial management, information systems, etc. RTC course announcements and schedules are sent directly to CCPOs on request. EDMs should deal directly with RTCs in processing of training requirements unless centrally funded by OCPO.

**A4-14.** Courses are available from other Government agencies. For example, general technical courses offered by the General Services Administration and Department of Treasury Federal Law Enforcement Training Center (see paragraph 4). Enrollment in such courses will be administered and funded as required at installation level.

**A4-15.** Jointly developed courses may be established that satisfy needs common to the Air Force and at least one other agency. These courses, which usually will be developed, funded, and administered at the installation level, may be established in any subject area where substantive competence exists to provide the training.

**A4-16.** Other Interagency Training Sources include:

a. Interagency Auditor Training Programs, Graduate School, USDA, Capital Gallery, 600 Maryland Avenue, SW, Wash, DC 20024.

b. Legal Education Institute, Department of Justice, Room 454, Safeway Building, 521 12th Street, NW, Wash, DC 20530.

c. GSA Training Center (HDAA), Crystal Square, Building 5, Room 1006, Wash, DC 20406.

d. Federal Law Enforcement Training Center, Department of the Treasury, Glynco, GA 31520.

e. US Department of Labor, OSHA Training Institute, 1555 Times Drive, Des Plaines, IL 60018.

f. Department of State, M/FSI, Extension Studies Program, Room 100, SA-3, Wash, DC 20502.

g. Federal Emergency Management Agency, National Emergency Training Center, Admissions Office, Route 1, Box 10-A, Emmitsburg, MD 21727. Course announcements and schedules will be sent upon request.

#### **Part E—Non-Government Facilities**

**A4-17.** A wide variety of local non-government facilities may be available, depending on the installation's needs. A compendium of sources that are best related to KSAs required to perform assigned missions should be maintained by the EDM.

**A4-18.** The selection of a non-government training source must meet the tests defined in section G, paragraph 21 of this regulation.

**INSTRUCTIONS FOR USE AND COMPLETION OF DD FORM 1556**

**Part A—Use of the Form.** DD Form 1556 will be used to authorize and record training, including direct and indirect costs, of civilian employees in Government facilities (intra and interagency), where specified, for training in nongovernment facilities and attendance at meetings. It is used for all formal training of 8 hours or more and all other training regardless of length, if costs are involved. Procedures for Defense Management Education and Training (DMET) courses are in the DMET Catalog, DOD Manual 5010.16-C, issued annually. DD Form 1556 is a multipurpose form designed to document a variety of training transactions such as:

- a. A request for training.
- b. Approval and authorization for training.
- c. Request and approval to attend professional meetings.
- d. Registration and acceptance form.
- e. Obligated service agreement.
- f. Certification of authorized expenditures and availability of funds.
- g. Document to authorize advance or reimbursement.
- h. Certification of completion of training.
- i. Record of training completion.
- j. Record of equivalency credit.
- k. Evaluation of training.
- l. Employee certification regarding receipt of contributions, awards, or payments in connection with the training.
- m. Document to establish monthly or quarterly funds obligation authority with the Accounting and Finance Office (AFO).
- n. Training needs survey instrument.

**Part B—Ten-Part and Single Cut Sheet Form Applications**

**A5-1.** The DD Form 1556 is available as a 10-part set and as a single cut sheet version. The single cut sheet may be used as a worksheet for conducting surveys, documents on center and ATC training, and for filling out the 10-part set. The single cut sheet may also be used to request and record certain types of training.

However, the 10-part set must be completed when:

- a. Training funds need to be spent (except training requiring only travel and per diem funds).
- b. A continued service or reimbursement agreement is needed.
- c. It is required for vendor notification and confirmation.

**A5-2.** Training which does not meet the above criteria may be covered by the single-sheet version, with sufficient copies to satisfy filing and followup evaluation requirements.

**A5-3.** As a local option, the CCPO may authorize use of a bond paper continuation sheet when two or more employees who fall under the authority of the approving authorizing official (block 29) are nominated to attend the same course at the same time and place. For each employee scheduled to attend, use a tabular format providing name, social security account number, organization to which assigned, approving supervisor and, when appropriate, direct cost, indirect cost, and total cost. The aggregated costs of all employees scheduled to attend will be entered on the DD Form 1556.

a. If training requirements are identified by program, subject, training area, weapon system, subsystem, new facility, or equipment, rather than by name nomination, the continuation sheet will give as much basic information as known, including the number of employees to be trained.

b. Purposes for which the continuation sheet (attached to appropriately signed DD Form 1556) may be used include:

- (1) Requesting, approving, and authorizing training.
- (2) Establishing monthly and quarterly funds obligation authority with the AFO. (Use with single cut sheet version of DD Form 1556.)
- (3) Reporting requirements during the annual training survey. (Use with single cut sheet version of DD Form 1556.)

**Part C—Distribution of DD Form 1556 Copies.** Table A5-1 depicts the normal distribution pattern:

**Table A5-1. DD Form 1556 Distribution—10-Part Set**

Copy Number		Distribution
1	AGENCY (Training and Personnel Folder)	Filed in employee's Official Personnel Folder (OPF) after completion of training (including abandonment or unsuccessful completion of training).
2	AUTOMATED DATA PROCESSING (ADP) COPY	OPTIONAL—May be used as a PDS-C input document.
3	VENDOR (Request Document)	Send to training facility or vendor (or to OCPO when centrally controlled) to nominate employee. This copy is not returned to the CCPO.

Table A5-1—Continued.

Copy Number		Distribution
4	VENDOR (Finance)	Send to training facility or vendor (or to OCPO when centrally controlled) as the obligation authority for approved costs.
5	VENDOR (Agency)	Forward to training facility or vendor (or to OCPO when centrally controlled). When instructed to do so, the vendor will complete section H and return to the agency to show acceptance of the student.
6	AGENCY (Finance)	When direct or indirect costs are involved, this copy will be given to the AFO. If the AF Form 616 or AF Form 405 is used, this copy serves as a backup document and is kept with the AF Form 616 or AF Form 405.
7	AGENCY (Finance)	(Same as copy 6.) This copy authorizes any separate payments for books, materials, or other costs.
8	AGENCY (Employee)	After certification of training completion, this copy is sent through the supervisor to the employee. The supervisor documents the employee's AF Form 971, Supervisor's Record of Employee, and gives the DD Form 1556 to the employee for his or her personal records.
9	AGENCY (Evaluation)	This copy is used to justify the training need and to evaluate the achievement of the objectives. After all items are completed, this copy is kept in the CCPO's training files.
10	ACTIVITY (Optional Use)	This copy is kept by the supervisor when he or she initiates the form.

**Part D—How to Prepare DD Form 1556 Single Cut Sheet and Ten-Part Versions.** In preparing the form, it will be necessary to use instructions contained in table A5-2 which clarifies the instructions on the reverse of the 10-part form.

Table A5-2. Instructions for Completing DD Form 1556.

Item	Entered by	Instruction
<b>Copy 1 of the 10-Part Set, Agency (Training and Personnel Folder) or the Single Cut Sheet Version (Front)</b>		
A	CCPO	The first two characters are "AF". The second two characters are the MAJCOM identification code (PDS-C, table 55). The last four characters are the submitting office number (PDS-C, table 81.)
B	CCPO	Contract number. Complete only if the training is procured by a contract or Educational Services Agreement. The information is available from the contracting office.
C	CCPO	Check as appropriate.
<b>Section A, Trainee Information</b>		
1 and 2	SUPV	Self-explanatory.
3a	SUPV	Enter organization symbol.
3b, 4, and 5	SUPV	(OPTIONAL ITEMS) Enter only when required by training facility or vendor.
6	SUPV	Enter X in correct box.
7	CCPO	Enter CCPO address.
8	SUPV	Enter the trainee's office telephone number (commercial and Autovon).
9	CCPO	For nongovernment training, enter years and months of continuous federal service. This information is available in PDS-C.
10	CCPO	Enter only if nomination is for nongovernment training of more than 40 hours.
11 (or 11a)	SUPV	Self-explanatory.
11b	SUPV	If the applicant for training is disabled or handicapped and in need of special arrangements (braille, taping, interpreters, facility accessibility, etc.), place an X in the block. Then describe the special arrangements on a separate sheet (plain bond paper) and attach two copies to the DD Form 1556. NOTE: The applicant is not required to furnish this information. His or her signature on the separate sheets, which are attached to the DD Form 1556, indicates agreement to release the information to training vendors.
	CCPO	Attach the signed description of the disabled or handicapped applicant's special arrangements to the OPF copy and the vendor's copy (copy 3 of the 10-part form or the copy of the single sheet which is sent to the office providing the training).
12, 13	CCPO	Self-explanatory.
14	CCPO	Follow instructions on the 10-part form.

Table A5-2—Continued.

Item	Entered by	Instruction
Copy 1 of the 10-Part Set, Agency (Training and Personnel Folder) or the Single Cut Sheet Version (Front)		
Section B, Training Course Date		
15a	SUPV	Self-explanatory.
15b	CCPO	Follow instructions on the 10-part form. In addition, enter the Civilian Requirements (CQ) File Record control flag on each DD Form 1556 as a cross-reference to PDS-C data. (See AFM 30-130, volume IV, chapter 13.)
16a	CCPO	Enter training type from PDS-C, table 188, unless otherwise directed by the training facility. NOTE: This entry differs from the "type" code in item 20, part Ib.
16b	SUPV	Self-explanatory.
16c		Leave blank.
17a	CCPO	If course is in the PMS, enter the course number as it appears in the PMS catalog. If not in PMS, enter another catalog course number, if appropriate.
17b	SUPV	Optional use.
18a, 18b	SUPV/CCPO	Self-explanatory.
18c		Leave blank.
19a, 19b, 19c	SUPV	Self-explanatory.
20 Part I, a	SUPV	<p>Enter one of the following codes that best describe the primary purpose of the training.</p> <p>1—Mission or Program Change. To provide KSAs needed as a result of change in activity mission, policies, programs, or procedures.</p> <p>2—New Technology. To provide knowledge or skill required to keep abreast of developments in the employee's occupational field or a related field.</p> <p>3—New Work Assignment. To provide skills or knowledge needed as a result of assignment to new duties and responsibilities when such training is not a part of a planned career development program. (Also see code B.)</p> <p>B—Upward Mobility. If the situation is as described in code 3 above and the employee is receiving training under the Upward Mobility Program, use code B. (Also see code C.)</p> <p>4—Improve Present Performance. To provide knowledge or skills needed to improve or maintain proficiency in present job.</p> <p>5—Meet Future Staffing Needs. To provide knowledge and skills needed to meet future staffing needs through a planned career development program in an occupational specialty, executive or managerial development program, a management, or program to upgrade skills and abilities. (Also see code C.)</p> <p>C—Upward Mobility. If the employee has been selected as a part of the Upward Mobility Program to receive training in anticipation of future placement, use code C.</p> <p>6—Develop Unavailable Skills. To provide knowledge or skills needed for fields of work that are unique to the Air Force, or to meet staffing needs in occupations for which the labor market cannot produce a sufficient number of trained employees.</p> <p>7—Trade or Craft. To provide the classroom or group portion of the formal training that, together with guided work experience, permits the employee to acquire or upgrade the knowledge and skills needed to meet the full requirements for journeyman status.</p> <p>8—Orientation. To provide orientation to policies, purposes, functions, and mission of the Air Force or the federal government for new employees.</p> <p>9—Adult Basic Education. To provide the basic knowledge and skills needed to permit the employee to function in the world of work.</p>
20 Part I, b	CCPO	Refer to FPM Supplement 292-1 for definitions of codes. In addition, AFM 30-130 shows conversion of table 188 codes to these type training codes.

Table A5-2—Continued.

Item	Entered by	Instruction
Copy 1 of the 10-Part Set, Agency (Training and Personnel Folder) or the Single Cut Sheet Version (Front)		
<b>Section B, Training Course Date</b>		
20 Part I, c and d	CCPO	Use appropriate codes from central PDS-C tables 205 and 203.
20 Part II, a		Leave blank.
20 Part II, b	SUPV/Security	Complete when security clearance is required by training facility/vendor. Information on clearance must be obtained by the supervisor from the appropriate security office.
20 Part II, c and d	SUPV	Follow instructions on reverse of 10-part DD Form 1556.
20 Part II, e	SUPV	Use priority definitions stated in this regulation (see attachment 2).
20 Part II, g	CCPO	Use appropriate codes from PDS-C, table 188.
20 Part II, f, h, i, j	SUPV/CCPO	Use appropriate codes on reverse of 10-part DD Form 1556.
<b>Section C, Cost and Billing Information</b>		
21, 21a, 21b, and 21c	SUPV/CCPO	Self-explanatory.
21d	CCPO	Use appropriate code from central PDS-C, table 214.
21e	CCPO	Enter fund cite. NOTE: For direct costs only.
21f	CCPO or AFO	As the Resource Manager, the EDM signs and certifies availability of funds based on earlier commitments initiated by AF Form 405 or AF Form 616.
22	CCPO	Advice number on the AF Form 405 or AF Form 616 is entered here.
23		Local option.
24, 25, 25a, b, c, and d	SUPV/CCPO	Self-explanatory. If supervisor does not have data, contact the EDM
<b>Section D, Approval/Concurrence</b>		
26	SUPV	Supervisor's signature certifies that the training is job related, is essential, represents a valid need, and that the employee will be released to attend the training. (See instructions for copy 9, section D, items 45 and 47 when using the 10-part form or, when using the single cut sheet version, see the instructions for section D, items 52 and 54.)
27	CCPO	Check appropriate block. Type or print name of certifying official (EDM). Enter telephone number (commercial, AUTOVON, and FTS for OPM) of EDM, obtain signature, and enter date. NOTES: (1) Depending on the type, level, or length of training, it may sometimes be necessary for the EDS to obtain higher-level written approval or waiver before signing in item 27. (2) Signature of the EDS/Resource Manager in this block constitutes agency certification of compliance with prevailing laws and directives, including consideration of the special arrangements at training facilities for handicapped or disabled employees.
28a	CCPO	When the SF 1080 is used, show your accounting distribution symbol number (ADSN). See paragraph 2i(2). If the training is funded by OCPO, show S525000.
28b	CCPO	Enter the mailing address for the training function in the CCPO. If funding is provided from the OCPO OBAN; that is, not the CCPO, MAJCOM, or comparable organization OBAN, enter: OCPO/MPKT, Randolph AFB TX 78150.
<b>Section E, Approval and Concurrence</b>		
29	Management	This block is signed by the functional manager who is designated approval authority for the operating organization. Signature indicates the need is valid and the priority shown in block 20, part IIe, is appropriate.
<b>Section F, Certification of Training Completion</b>		
30	CCPO	Official school documents are used to make a certification entry on DD Form 1556. When requested, the trainee will provide evidence of satisfactory completion before certification is made.
31	Authorized EDS	Self-explanatory.
32		Self-explanatory. (Copy 5 is used for this purpose.)



Table A5-2—Continued.

Item	Entered by	Instruction
Copy 1 of the 10-part Set, (Reverse Side)—Privacy Act Statement or Single Cut Sheet Version (Back)		

The supervisor must obtain the employee's signature before submitting the form to the CCPO.

NOTE: When using the single sheet version, employee's signature in item 56 satisfies Privacy Act requirements.

**Section G, 10-Part Set—Employee's Agreement to Continue in Service**

33	CCPO and Trainee	As required by this regulation section F, paragraph 22, the EDS will enter the period of obligated service, counsel the employee on obligations, and obtain employee's signature and date in this section. These actions must be completed before departure for training.
34 and 35	CCPO/TRAINEE	EDM will counsel the trainee and obtain the employee's signature before departure for training, as required.

Copy 4-5, (Reverse Side)

**Section H, Training Vendor**

33		Vendor will complete and return copy 5 to the agency.
34		Vendor will complete.

**Section I, Mailing Address of Nominating Agency**

35	CCPO	Enter mailing address of servicing CCPO, or OCPO mailing address if centrally controlled.
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Copy 6-7, (Reverse Side)

**Section G, Finance**

33	CCPO	The EDM authorizes payment by signature in this block. Amount to be paid is direct costs only. Do not enter or include indirect costs in item 33 of the DD Form 1556.
34	AFO	Enter amount paid, date, and signature.
35	CCPO	The EDM indicates, by completion of block 35, when the advanced or reimbursement method of payment is to be used. See paragraph 2d of this chapter.

Copy 8 (Reverse Side)

Same as copy 1, (Reverse Side)

Item	Entered by	Instruction
Copy 9 of 10-Part Set, Agency Evaluation (Front and Back) or Single Cut Sheet Version (Back)		

**Section C, Termination and Evaluation Data (10-Part Set)**

21 through 39	Trainee	Self-explanatory. These items are completed after the training.
40	Trainee	The objectives of the training must be stated before the training request is submitted to the CCPO. The objectives must state what KSAs will be acquired as a result of the training. Also, a statement must be included that describes how the KSAs will be used in relation to the trainee's official duties. If more space is needed, continue in item 42.
41, 42	Trainee	Self-explanatory. These items are completed after the training.
43	Trainee	Sign before form is submitted to CCPO.
DATE	Trainee	Enter date when signed (year, month, day). Example: 800929.

**Section C, Termination and Evaluation Data (Reverse Side)**

(Single Sheet Version)

33 through 35	Trainee	Self-explanatory. Complete after the training.
Academic grade or score	Trainee	Self-explanatory. Complete after the training.
36	Trainee	Self-explanatory. Complete after the training.

Table A5-2—Continued.

Item	Entered by	Instruction
Copy 9 of 10-Part Set, Agency Evaluation (Front and Back) or Single Cut Sheet Version (Back)		

## Section C, Termination and Evaluation Data (Reverse Side)

## (Single Sheet Version)

37	Trainee	The objectives of the training must be stated before the training request is submitted to the CCPO. The objectives must state what KSAs will be acquired as a result of the training. In addition, a statement must be included which describes how the KSAs will be used in relation to the trainee's official duties. If additional space is needed, continue in item 54.
38 through 50	Trainee	Self-explanatory. Complete after the training.

## Section D, Supervisory Comments (10-Part Set)

44	SUPV	Must be discussed with the employee when the form is initiated and at time of evaluation.
45	SUPV	The objective must be stated when the request for training is initiated (see paragraph 17a). The objective must explain why there is a need for training and how the recommended training course will meet the need. Be specific. State the KSAs that will be acquired through the training and how the KSAs relate to the employee's official duties. If additional space is needed, continue in item 47.
46, 47	SUPV	Self-explanatory. Complete after training is completed.
48	SUPV	Self-explanatory. Sign when employee is nominated for training.
DATE	SUPV	Enter date when signed (year, month, day). Example: 800929

## Section D, Supervisory Comments (Single Cut Sheet Version)

51	SUPV	Must be discussed with the employee when the form is initiated and at time of evaluation.
52	SUPV	The objective must be stated when the request for training is initiated. The objective must explain why the training is needed and how the recommended training course will meet the need. Be specific. State the KSAs that will be acquired through the training and how the KSAs relate to the employee's official duties. If additional space is needed, continue in item 54.
53, 54	SUPV	Self-explanatory. Complete after the training is completed.
55	SUPV	Sign when employee is nominated for training.
DATE	SUPV	Enter date when supervisor signs (year, month, day). Example: 800929.
56	Trainee	Self-explanatory. Sign when nominated for training.
DATE	Trainee	Enter date when trainee signs (year, month, day). Example: 800929.

## GUIDE FOR ADMINISTERING NEW EMPLOYEE ORIENTATION PROGRAM

### Part A—Objective and Program Features

**A6-1. Objective.** These are orientation programs given by the CCPO with appropriate representation from other functions. They are designed to assist new employees in adjusting readily to their jobs and work environment. The main objective is to provide information that will help employees to understand missions, the functions of their units, conditions of employment, and to acquire at the outset a favorable motivation. Supervisors must release employees for attendance at scheduled orientations.

**A6-2. Program Features.** There are five distinct components of the program. These are the orientation interview, job induction, group orientation, desk orientation, and continuing orientation. The extent, frequency, and sequencing of the respective components are driven mainly by employment dynamics. In all cases, however, the information furnished must be kept current and presented effectively to meet the objective.

### Part B—Action Items to Ensure Effective Orientations

**A6-3. The Orientation Interview.** This is the initial interview conducted by a CCPO representative during the personnel processing of all new employees. Information to be furnished cover such subjects as housing, transportation, installation facilities, duty hours, pay and pay periods, and insurance benefits.

**A6-4. Job Induction.** This is accomplished by immediate supervisors upon arrival of all employees newly assigned to the unit. When the new employee reports to the unit, the job induction should include these activities:

- a. Welcome and introduce the employee to coworkers and higher levels of supervision.
- b. Give the employee a copy of his or her position description and discuss the duties and responsibilities, also a copy of AFR 40-11, Air Force Civilian Standards.
- c. Explain the work of the unit and the relationship between the employee's work and that of his or her coworkers.
- d. Explain performance requirements of the position which may involve a discussion of the job performance appraisal or GM appraisal work plan and standards.
- e. Make available all materials, manuals, etc., which may be needed on the job, and explain safety practices.
- f. Explain the chain of command and points of contact for information and assistance. If union stewards are assigned, make appropriate introductions.
- g. Explain any customs or practices of the unit which may not be standard throughout the installation, such as hours of duty, lunch and authorized break periods, approving officers for leave, and similar matters.

h. Provide a tour of the work area and available facilities.

i. Determine if there are any parts of the work with which the employee may not be familiar and for which he or she may require special attention or training.

j. Arrange a definite schedule of assistance to cover the first few weeks or months of the employee's service.

k. Assign initial duties and encourage the employee to ask questions.

**A6-5. Group or Desk Orientation.** These are orientations given by a representative of the CCPO to all employees new to the Air Force. Portions of this orientation may also be locally required for employees newly assigned from other Air Force activities and former Air Force employees following a break in service. Group orientations should be conducted at regular intervals, but, if employment volume is low, desk orientations may be used for one to four employees at a time. In either case the orientation should be furnished within 90 days of the employees arrival on the installation. Topics to be covered should include:

a. Mission and orientation of the Air Force, the command, and the installation.

b. Employee's rights, opportunities, and privileges. (AFR 40-11 should be distributed.)

c. Responsibilities and obligations of Air Force employees, including restrictions with regard to gratuities and outside activities.

d. Leave, pay, health benefits, insurance, retirement, and compensation for injury, and, if applicable, special entitlements such as living quarters allowance.

e. Health, safety, and drug and alcohol abuse. (See AFR 40-792, attachment 4, paragraph 2.)

f. Merit promotion policy, equal employment opportunity policy, and incentive awards programs.

g. Employee training and development policy and opportunities.

h. Security and safeguarding of military information.

i. Employee and labor relations.

**A6-6. Continuing Orientation.** Periodically and as circumstances warrant, selected subjects should be presented in a group environment to provide current information. Commander's call and awards ceremonies provide an excellent opportunity for addressing matters of interest to the work force.

**A6-7. In oversea areas,** CCPOs should ensure that, in addition to the topics listed in paragraph 3 of this attachment, subjects peculiar to the host country or area are covered. This may include, but need not be limited to, the following:

a. History, culture, and political conditions of the host country.

- b. Administrative and other agreements governing the status of US citizen employees.
- c. Suggested standards of conduct for employees, including personal relationships with citizens of the host country.
- d. Where applicable, the use of local currency,

- military payments certificates, and currency conversion.
- e. Information concerning the availability of training in the language of the country of assignment.
- f. Drug and alcohol abuse laws, customs, and problems. (See AFR 40-792.)

## GUIDE FOR APPRENTICE PROGRAM PLAN

**A7-1. Regular Apprentice Program**—Air Force regular apprentice programs are registered with the US Department of Labor's Bureau of Apprenticeship and Training (BAT) before activation. The CCPO advises managers regarding preparation of supporting documentation required for BAT approval and certification. Requests to establish, change, or cancel programs are forwarded by the servicing CCPO to the parent command for review and transmittal to HQ USAF/MPK. To obtain approval, the training, work experience, and schedule, must be described in a written plan stating terms and conditions of employment, training, and supervision. This plan must:

- a. Include at least 2,000 hours of work experience covering a 2- to 4-year period.
- b. Contain an outline of major job elements Installation System Development (ISD) in which the apprentice will receive supervised work experience, OJT and formal classroom training showing the approximate amount of time to be spent in each.
- c. Provide for at least 144 hours per year of related formal classroom-type instruction.
- d. Show a progressively increasing schedule of wages, based on successful performance of appropriate progress records.
- e. Provide for periodic review and evaluation of the apprentice's progress in job performance and related instruction and the maintenance of appropriate progress records.
- f. Ensure adequate safety training.
- g. Ensure adequate and safe equipment and facilities necessary to conduct the training.
- h. Show the minimum qualifications required for persons entering the apprenticeship program. Include a probationary period as required for new employees, when appropriate.
- i. Ensure that each apprentice is under a written apprenticeship agreement which is accomplished by completing AF Form 6, Apprentice Agreement.

j. Document advanced standing or credit before program entry for previously acquired experience, training, or skills with commensurate wages for any advanced progression step so granted.

k. Ensure that qualified training personnel and adequate supervision will be provided.

l. Provide for recognition of successful completion by preparing the AF Form 76, Certificate of Completion of Apprenticeship Certificates, obtained by the MAJCOM from HQ USAF/MPK before graduation ceremonies for each apprentice completing all program requirements.

m. Provide for the prompt submission of any modification or amendment to the plan.

n. Provide for periodic evaluation of individual performance.

**A7-2. Special Apprentice Program**—Special apprentice programs are formal training programs normally less than 2 years. Formal classroom training, OJT, and performance requirements are established using Instructional Systems Development methodology (ISD). From this methodology, a formal written training plan will result which specifies in 6-month increments all experience, OJT, formal classroom training and performance requirements. Wages to be paid will be determined in advance for each 6-month period. Consistent with successful performance, program completion and skill to be acquired (FPM Supplement 532-1) each trainee will be provided with a copy of the written training plan. Trainees completing the program will be provided appropriate recognition.

**A7-3. Employee Applications for Veterans Administration (VA) Benefits.** Following VA approval of either type of program, eligible employees should submit applications to the VA office that has their veteran's records, if known; otherwise, they should write to the VA regional office in their current state of residence.

## GUIDE FOR CHECKING VETERANS ENTITLEMENTS UNDER A COOPERATIVE TRAINING AGREEMENT WITH THE VETERANS ADMINISTRATION

**A8-1. Cooperative Agreement.** Under a cooperative agreement between the Air Force and the Veterans Administration (VA), veterans and other eligible persons who enter VA-approved apprenticeship programs or other OJT programs may receive, in addition to their wages, a training assistance allowance.

**a. VA Benefits for Apprentices.** Requests for VA approval of apprentice programs are submitted by CCPOs through MAJCOMs and comparable organizations to HQ USAF/MPK along with the Bureau of Apprentice and Training (BAT) approval which meet the VA requirements (see attachment 7).

**b. VA Benefits for Other OJT.** To qualify for VA approval, the OJT program must meet the criteria listed below. Positive responses should ensure that VA eligibility requirements will be satisfied:

- (1) Is the title and description of target position well-defined?
- (2) Is there a list of operations or tasks to be learned? The time to be spent on each operation or task, and the performance requirements for each operation or task?
- (3) Is there reasonable certainty the target position will be available at end of training period?
- (4) Is the trainee position one in which promotion eligibility is based on skills learned through experience on the job rather than on such factors as length of training and normal turnover?
- (5) Have assurances been made that the target job is not an unskilled or laborer position, clerical position, nor a professional position for which OJT is not the normal method for obtaining qualified personnel?
- (6) Is the pay during training at least as much as pay for other trainees in similar trainee positions?
- (7) Is the starting pay for trainee at least 50 percent of pay for the target job?
- (8) Will there be at least one pay increase during the training period?
- (9) Throughout the final month of training will the

trainee's pay be at least 85 percent of the target job pay, and has this been coordinated with the position classifier?

(10) Does the job require at least 6 months of full-time training, and no more than 2 years of full-time training?

(11) Have provisions been made for any related instruction needed by the trainee?

(12) Is there adequate space, equipment, instructional personnel, and equipment to provide satisfactory OJT?

(13) Will adequate records be kept showing periodic evaluations and the progress made by trainee toward job objectives?

(14) Has proper credit been given trainee for previous job experience (including military experience, if any)? If so:

(a) Has starting pay been adjusted to the level earned by this experience?

(b) Has the training period been proportionately shortened?

(c) Will the shortened training period still be at least half the normal training period?

(15) Has a signed copy of the individual's training agreement including training outline and wage scale been provided to him or her, and a copy sent to the VA regional office?

(16) Will the graduate, upon completion of training, be given a certificate? Will assurances be made that appropriate entries are accomplished in PDS-C and the OPF?

(17) Can all records be readily assembled and be made available to representatives of the VA upon requests?

**A8-2. Obtaining Benefits.** Applications for training assistance allowance under the agreement must be initiated by the participating veteran. Applications are submitted to respective VA regional offices.

## GUIDE FOR MANAGING THE EXCHANGE-VISITOR PROGRAM (E-VP)

**A9-1. Program Designation.** The US Information Agency (USIA) has assigned G-5-132 as the E-VP program designation for the Air Force. This designation must be used on all correspondence or discussions with the USIA, American consular officers, or the Immigration and Naturalization Service (INS).

**A9-2. Definitions:**

**a.** Employees, as used in this attachment, are civilian employees of the Air Force who are non-US citizens employed overseas. This includes employees appointed by either direct or indirect hire.

**b.** The Responsible Officer (RO), as used in this attachment, is the OCPO official designated to manage overall operational aspects of the E-VP.

**c.** Alternate Responsible Officers (ARO), as used in this attachment, are those individuals who assist the RO by performing specific duties outlined below. Designated AROs must be US citizens.

**A9-3. Program Administration:**

**a.** MAJCOMs providing civilian personnel service for non-US citizen employees working overseas will:

(1) Designate, in writing, an ARO to administer the E-VP program.

(2) Designate, in writing, at least one but preferably two AROs at each CCPO located overseas when non-US citizen employees are a part of the serviced work force and retain in the CCPO authority file.

(3) Provide OCPO/MPKT the following information when an ARO is designated: name, social security account number, organization, and mailing address.

(4) Advise OCPO/MPKT of changes needed to maintain the list of AROs in a current status.

(5) Ensure that individuals designated AROs are aware of their responsibilities before designation.

(6) Estimate the command's annual need for Form IAP-66, Certificate of Eligibility For Exchange—Visitor Status (J-1), and request forms from OCPO/MPKT in May of each year.

**b.** CCPOs providing civilian personnel service for non-US citizen employees working overseas will:

(1) Retain a copy of each of the following basic documents for administering the program: Public Law 91-225, E-VP Description, E-VP Regulations, and E-VP Code Book and changes when furnished by the RO.

(2) Recommend individuals to be appointed as ARO.

(3) Advise the MAJCOM of any changes affecting the designation of an ARO.

(4) Make sure of compliance with regulatory requirements.

(5) Initiate Form IAP-66, as required.

(6) Handle blank Forms IAP-66 as controlled documents, and establish appropriate local procedures

for safeguarding them.

**c.** When an employee is selected for training under the E-VP, the following actions are required:

(1) Notification of the employee's selection is sent, by the ARO, to the parent command and to the headquarters of the training facility responsible for conducting or arranging the training. The notice will include the name, position title, and grade of the employee and the course title, dates, and location of training.

(2) The ARO completes and signs Form IAP-66. Instructions for completion of the form and the uses of each copy are in the E-VP Code Book.

(3) The ARO provides instructions and guidance to participants before their departure for training. This counseling must give the participants the information that will enable them to complete the objectives of their programs.

**d.** The only category of visitor for Air Force participants under this program is "trainee." A "trainee," for the purpose of obtaining OJT with firms, institutions, and agencies in a specialized field of knowledge or skill, cannot exceed 12 months in one continuous period of stay in the US.

**e.** The ARO must notify the District Director of the INS when:

(1) The Air Force terminates an employee's participation in the program.

(2) The participant remains in the US beyond the period of stay authorized by the INS.

(3) The participant has completed the training for which he or she entered the US and is due to depart.

**f.** As a general rule, applications for extensions of stay should be requested only for continuation of the activity for which the participant originally obtained exchange-visitor status, not for a new activity. Participants requiring an extension of stay must request approval from the servicing CCPO. The request must include full justification for the desired extension. The CCPO takes the following action on such requests:

(1) Consults with the functional manager or supervisor and determines if the extension of stay is in the best interest of the Air Force.

(2) If the extension is disapproved, notifies the employee in writing.

(3) If the extension is approved, the ARO completes Form IAP-66 to show the time and terms of the extended stay. (The authorized period of stay is noted on Form I-94, Arrival-Departure Record, and inserted in the exchange visitor's passport by the INS inspector).

(4) Sends requests for extension of stay to the District Director of the INS having administrative jurisdiction over the participant's place of temporary residence.

**g.** Application for extension should be made between

<b>JOINT MESSAGEFORM</b>						SECURITY CLASSIFICATION <b>UNCLASSIFIED</b>																
PAGE	DTG/RELEASER TIME			PRECEDENCE		CLASS	SPECAT	LMF	CIC	ORIG/MSG IDENT												
	DATE-TIME	MONTH	YR	ACT	INFO																	
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BOOK	MESSAGE HANDLING INSTRUCTIONS						IMC85-1 to afr40-410 28 Jan 85															
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DEPARTMENT OF THE AIR FORCE  
Headquarters US Air Force  
Washington DC 20330

AF REGULATION 40-418  
14 January 1977

Civilian Personnel

MANAGER TRAINING AND DEVELOPMENT

This regulation contains information needed by commanders and all supervisors of civilian employees. Part One explains manager training and development within the Air Force. It also states policies, objectives and assigns responsibilities for supervisory, mid-level manager and executive development. Part Two outlines the Air Force Plan for Manager Development. It includes information on general program requirements, resource utilization and the selection of participants. Chapter five establishes the Air Force Plan for Supervisory Development. Chapter six establishes the Air Force Plan for Mid-Level Manager Development. Chapter seven establishes the Air Force Plan for Executive Development. This regulation applies to all Air Force activities and US citizen employees paid from appropriated funds, and with certain modifications, non-United States citizen employees and employees paid from nonappropriated funds. It implements Federal Personnel Manual, chapter 410, appendix A, "Supervisory Training," 6 September 1974, Federal Personnel Manual, chapter 412, "Executive Development," 16 November 1973, Federal Personnel Manual Letter No. 412-2, 29 January 1974 and DOD Instruction 1430.8, 30 October 1970 including change 1.

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## PART ONE

## POLICIES, OBJECTIVES, AND RESPONSIBILITIES

## Chapter 1

## GENERAL INFORMATION

**1-1. Introduction:****a. Office of Management and Budget Actions:**

(1) The Director, Office of Management and Budget (OMB) in a memorandum for heads of departments and agencies, 5 April 1976, indicated that the President has placed a high priority on executive development and directed agencies "to strengthen their internal programs of executive selection and development."

(2) The Director, OMB in a series of memoranda for heads of departments and agencies has requested each department and agency to develop action plans to:

(a) Engage career executives in planned development experiences.

(b) Systematically identify, develop and assign individuals with high potential for career executive positions.

(3) The OMB, in connection with budgetary responsibilities periodically determines the adequacy of agency commitment, planning and resources devoted to executive development. OMB budget examiners review agency submitted executive development program resource requirements plan in conjunction with the agency's fiscal year budget submission.

**b. Civil Service Commission Guidance.** The Civil Service Commission (CSC) under the authority in Section 3361 of Title 5, United States Code to establish qualification standards for competitive service promotions has imposed a training requirement for all newly selected supervisors. Federal Personnel Manual, chapter 410, appendix A, "Supervisory Training," contains general guidance for the initial training of newly selected supervisors and advanced management training for experienced supervisory personnel. Federal Personnel Manual, chapter 412, appendix A, "Guidelines for Executive Development Programs," and FPM Letter No. 412-2, "Executive and Management Development" contain detailed guidance for establishing and operating executive development programs.

**c. DOD Guidance.** DOD Instruction 1430.8, 30 October 1970, with changes, "Manager Training and Development of Civilian Employees in the Department of Defense" establishes DOD policies and standards for training and development of civilian managers at all organizational levels to provide a continuing source of human talent to manage effectively, economically and realistically the Nation's defense establishment

and achieve national defense goals.

**1-2. Explanation of Terms:**

**a. Manager Training and Development.** The process by which growth of leadership qualities is promoted on a plan based on determined needs. This process includes planned actions to increase managers' competence and potential in:

(1) Knowledge and skills stemming directly from the occupational disciplines being managed;

(2) Knowledge and skills involving management processes, techniques, and systems cutting across occupational disciplines being managed;

(3) Conceptual skills and understanding required in building and maintaining cooperative work effort.

**b. Managerial Position.** For the purpose of this issuance, a managerial position is one in which the incumbent directs the work of an organization or major program; is held accountable for the success of specific line or staff programs, projects, functions or activities; and monitors progress toward goals, evaluates operational effectiveness and makes appropriate adjustments. There is no standard set of duties for all managers throughout the Air Force. There are, however, specific areas of activity that must be considered and emphasized when planning for and carrying out personnel training and development. The subparagraphs below list (as a guide) the types of managers and their major responsibilities.

(1) **Senior Executives.** Individuals at grades GS-16 through GS-18 and certain other employees at equivalent positions who occupy positions designated as managerial. These managers give attention to:

(a) The overall direction of the organization, organization goals, philosophy of management, policies, organizational climate, integration of multiple functions and impact of each on the total mission.

(b) Community and interpersonal relationships.

(2) **Mid-Level Managers.** All managers between the executive level and the first level of supervision. Mid-Level managers usually occupy positions at grades GS-12, GS-13, GS-14, and GS-15 or equivalent. Mid-Level managers:

(a) Usually have subordinate supervisors reporting to them.

(b) Usually reflect the needs of the subord-

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inate supervisors and bring their influence to bear on the activities of executives.

(c) Interpret executive decisions to lower levels of management.

(d) Evaluate progress toward achievement of organizational goals.

NOTE: Employees in grades GS-12 through GS-15 who have major program or project responsibilities will be included as mid-level managers for the purpose of manager training and development.

(3) **First Level Supervisors.** First level supervisors usually have "supervisor" designated in their official job titles and are assigned only non-supervisory personnel. Supervisors are normally responsible for:

(a) Technical direction of work.

(b) Making work assignments and setting individual and group goals.

(c) Making objective evaluations of the quality of individual performance based on valid performance measurements and sound judgment.

(d) Communicating performance evaluations to employees concerned and taking corrective action in accordance with applicable personnel management policy.

(e) Dealing with employees in a fair and equitable manner and in accordance with established policy including the terms of a negotiated agreement.

(f) Developing and motivating employees to reach their fullest potential and granting recognition for superior work or innovative contributions.

**c. High Potential Mid-Level Employees.** Those mid-level employees normally at grades GS-12 through GS-15 or equivalent levels who have been determined to have high potential for assuming positions of greater responsibility and who have been accepted by the Executive Development Council for selected training and developmental assignments.

**d. Executive Development Council.** A council of high ranking military and civilian career employees designated by the commander of the major command (MAJCOM), separate operating agencies (SOA) or the Office of Civilian Personnel Operations (OCPO) to monitor executive development efforts, to periodically review progress toward organization objectives, and report on its stewardship to the commander or Air Staff functional manager.

NOTE: May be the MAJCOM instrumentality of the Executive Assignment Board, or if at a large installation, and approved by MAJCOM, a subordinate council or panel that meets this definition.

**e. Executive Manpower Management Officer (EMMO).** That civilian official, normally the di-

rector of civilian personnel, designated as the focal point to ensure an effective Executive Development Program.

**f. Executive Development Inventory.** An inventory of current executives, mid-level managers and selected individuals at mid-level with high potential for assuming more responsible positions.

**g. Assessment.** The process of determining or making judgments about the degree to which individuals possess the knowledges and abilities required for particular managerial positions.

**h. Assessment of Employee Potential.** The process whereby the skills, knowledges, capabilities, education or other qualifications possessed by an employee are compared to those required in a managerial position to forecast probability of success.

**i. Career Appraisal.** The exploration and discussion between the supervisor or the career program manager at the Office of Civilian Personnel Operations and the employee concerning qualifications, current performance, goals and aspirations, willingness to participate in training and development activities, future role in the Air Force, organizational requirements and individual needs. The career appraisal results in the preparation of an individual development plan.

**j. Individual Development Plan.** A periodically prepared schedule of work assignments and formal training designed to improve current performance and/or to prepare the individual for positions of greater responsibility. The schedule can be general in nature or directed towards requirements to progress to a target position.

**k. Mobility.** The availability of an employee for organizational, functional, and/or geographic relocation for developmental purposes.

**l. Functional Chief.** The Air Force official, normally at the Air Staff level, responsible for accomplishing the mission of the function concerned.

**m. Career Planning Board.** A group of individuals selected by the Functional Chief to assist in developing functional objectives and requirements.

**n. Central Career Management Activity.** A HQ USAF level activity within the Office of Civilian Personnel Operations maintained and directed by the Directorate of Civilian Personnel to provide for centralized management of Air Force-wide career programs.

**o. Career Program Manager.** An individual assigned to the Office of Civilian Personnel Operations with responsibility for managing an Air Force-wide career program.

**1-3. MAJCOM and SOA Supplements.** Normally, this regulation will not be supplemented. How-

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ever, all MAJCOMs and SOAs who desire to supplement this regulation will submit two copies of the proposed draft to HQ USAF/DPCMT for approval.

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## Chapter 2

## POLICIES AND OBJECTIVES

**2-1. Overall Air Force Manager Development Policy.** Air Force policy is to:

a. Attract, select, utilize, develop, and retain a qualified, productive and well-motivated work force capable of performing the Air Force mission at all echelons.

b. Individuals with potential for assuming positions of greater responsibility will be selected without discrimination on the basis of race, color, religion, sex, national origin, age, or other non-merit factors which are unrelated to the need for training or development.

**2-2. Supervisory Development Policy.** Air Force policy is to:

a. Provide suitable initial training for all newly selected supervisors to help bridge the gap between skills required at the working level and those required at the supervisory level. Within the Air Force, initial supervisory training is accomplished through:

(1) Completion of the USAF Supervisors' Course.

(2) Training in civilian personnel policies, practices and procedures for those supervisors with civilian personnel management responsibilities.

b. Ensure that initial supervisory training is supplemented by:

(1) Training in military personnel policies, practices and procedures for civilian supervisors of military personnel as required.

(2) Refresher and advanced training built upon a continuous appraisal of individual needs and organizational requirements.

**2-3. Mid-Level Manager Development Policy.**

Air Force policy is to:

a. Systematically identify and develop mid-level managers for effective performance in current positions and for assuming positions of greater responsibility. An integral part of this policy requires effective career planning to:

(1) Identify all mid-level managerial positions.

(2) Specify the skills, knowledges and abilities required for each managerial position.

(3) Provide appropriate training and developmental experiences based on career appraisals, performance evaluations and individual development plans formulated through individual employee and management involvement.

(4) Provide persons identified and selected as having potential for assuming senior executive positions with appropriate developmental assignments that prepare them for positions of greater responsibility.

b. Ensure that participants in DOD and Air

Force-wide career programs will have their managerial training and developmental needs determined and documented as outlined in the appropriate career program directive. (See AFR 40-110).

c. Ensure that participants in approved command-wide career programs will have their managerial training and developmental needs determined and documented in procedures established by the MAJCOM (or SOA if appropriate).

**2-4. Senior Executive Development Policy.** The Executive Assignment Board appointed by the Secretary of the Air Force serves as the Executive Manpower Resources Board (EMRB). The Board sets overall senior executive development policy consistent with Air Force goals and priorities and makes periodic review of progress made toward achieving objectives. (See AFR 40-2, chapter 2.) Air Force policy is:

a. To enhance the qualifications and capabilities of incumbent senior executives and selected mid-level managers with high potential for assuming senior executive positions.

b. To utilize the Air Force Executive Development Program as the principal means for providing highly qualified well-motivated career employees to meet present and future senior executive manpower requirements.

c. To ensure that personnel assigned to, advancing to, or being initially appointed to senior executive positions will be scheduled for attendance at the Federal Executive Institute during the first year after assignment to a senior executive position. Individual development plans prepared for proposed appointees to senior executive positions will reflect this requirement.

d. To administer executive development within Air Force-wide career programs as these programs are developed and implemented.

**2-5. Objectives of Manager Development.** Consistent with the needs of the Air Force for trained management personnel, the objectives of manager training and executive development programs are to:

a. Identify all managerial positions and specify the knowledge and ability requirements of each managerial position.

b. Assess on a systematic basis, employees occupying supervisory, mid-level manager and senior executive positions and provide them with requisite skills, knowledges, and ability through planned training and developmental assignments.

c. Identify individuals with high potential for

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assuming managerial positions of greater responsibility and provide those so identified with requisite training and developmental assignments.

d. Provide a systematic method for the identification of resource requirements needed to establish and maintain an effective manager and executive development program geared to Air Force and command goals and objectives.

e. Establish a mechanism for overall evaluation of the manager and executive development to ensure progress toward established goals and objectives.

f. Provide the commander, his or her staff, representatives of top management and the civilian personnel officer at various echelons with an accurate summary of managerial capabilities and requirements.

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## Chapter 3

## RESPONSIBILITIES

**3-1. Responsibilities of the Director of Civilian Personnel (DPC) HQ USAF:**

- a. Develops and distributes an integrated over-all Air Force-wide plan for the establishment and administration of supervisory training and managerial development programs for civilian managers at all levels.
- b. Provides for the development and publication of training materials in basic management concepts, techniques and practices; and civilian personnel policies, practices and procedures.
- c. Provides for the periodic review (e.g., once every 2 years) of supervisory training and managerial development programs for the purpose of updating the material being taught.
- d. Evaluates the effectiveness of internal manager development programs to determine how well they are meeting Air Force requirements.
- e. Is designated as the Executive Manpower Management Officer (EMMO). As EMMO:
  - (1) Ensures that an effective Air Force-wide plan for civilian senior executive development is designed and implemented under the Senior Executive Development Policy approved by the Executive Assignment Board.
  - (2) Develops and issues regulatory and instructional materials to support the civilian executive development program.
  - (3) Serves as the principal liaison officer with the Civil Service Commission, the Office of Management and Budget and other external agencies in matters pertaining to senior executive development.
  - (4) Provides technical advice to each major command and separate operating agency concerning the Air Force-wide Civilian Executive Development Program.
  - (5) Establishes procedures to identify:
    - (a) Anticipated executive manning requirements.
    - (b) Inter-command exchange programs for executive development purposes.
  - f. Designates the Office of Civilian Personnel Operations, Career Management Division to implement and administer the Air Force plan for manager and executive development for career programs established under the authority of AFR 40-110.

- 3-2. Responsibilities of Career Planning Boards.** These boards assist functional chiefs in defining requirements and making provisions for career program administration as outlined in AFR 40-110. Where established these boards:
  - a. Determine the number of mid-level managers and individuals with potential for assuming

managerial positions that are needed within the career group, career family, the function(s), or occupation(s) covered by the career program.

- b. Provide guidance to the career program manager and the Executive Development Council in the identification, selection, and development of mid-level managers, and individuals with high potential for assuming managerial positions of greater responsibility.

**3-3. Responsibilities of MAJCOM and SOA Commanders:**

- a. Administers the Air Force plan for civilian manager and executive development.
- b. Issues or causes to be issued a statement of policy on civilian manager and executive development.
- c. Designates an Executive Development Council composed of both high ranking military and civilian career employees.
- d. Designates the MAJCOM director of civilian personnel as the command Executive Manpower Management Officer (CEMMO) to provide a focus for the executive development program. Within SOAs, the commander will designate a focal point for executive development activities.
- e. Ensures appropriate input to the Office of Civilian Personnel Operations (OCPO/DPCC) concerning manager and executive development for participants in established DOD and Air Force-wide career programs.
- f. Ensures input to the HQ USAF "Call" for the FY Operations Operating Budget and budget estimates is adequate to support the MAJCOM or SOA manager and executive development program resources requirement plan.

**3-4. Responsibilities of MAJCOM and SOA Executive Development Council:**

- a. Directs and coordinates the implementation of the Air Force plan for manager and executive development.
- b. Establishes requirement for, and initiates action for the conduct of a work force assessment and analysis to relate the identification, and nomination of candidates for mid-level manager and executive development to projected executive and mid-level manager manning requirements.
- c. Reviews and approves the nomination of candidates for mid-level manager and executive development using the criteria for identification, nomination and selection high potential individuals for managerial positions.
- d. Ensures that eligible women and minority employees are identified and considered by their



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supervisors for nomination as candidates for the mid-level and executive development program.

e. Reviews and modifies as necessary, the proposed individual development plans of candidates for executive development which contain significant training and developmental assignments.

f. Ensures that the post-training plan for utilization of candidates nominated for executive development bears a direct relationship between the focus of training and the utilization of the individual upon return to work after completion of the developmental activities.

### **3-5. Responsibilities of MAJCOM and SOA Director of Civilian Personnel.** As CEMMO:

a. Implements and administers the Air Force plan for manager and executive development. Provides input to OCPO/DPCC for participants in established DOD and Air Force-wide career programs.

b. Coordinates the work force assessment and analyses under the direction of the Executive Development Council to relate the identification of individuals with high potential for assuming positions of greater responsibility and the proposed developmental activities outlined in their individual development plans to the projected MAJCOM or SOA senior executive manning requirements.

c. Serves as the technical advisor to the Executive Development Council and other management officials throughout the command or SOA.

d. Establishes procedures to identify:

(1) Anticipated manning requirements on both a 1 year and 5 year basis.

(2) Possible intra MAJCOM or SOA exchange programs for training and developmental purposes.

e. Establishes guidelines and timetables for:

(1) Supervisor's appraisal of employee.

(2) Career appraisal discussions.

(3) Preparation of individual development plans.

(4) Annual updating of individual development plans.

f. Designates an executive secretary to maintain records of the Executive Development Council activities and decisions and to assist the Council chairperson as requested.

g. Designates a member of the staff civilian personnel office to monitor and coordinate supervisory, mid-level manager, and executive development throughout the MAJCOM or SOA.

h. Evaluates and revises the MAJCOM or SOA manager and executive development program under the general direction of the Executive Development Council, to reflect changing conditions and needs and priorities.

i. Ensures through leadership and influence

with the commander and top management officials that:

(1) The Executive Development Council is a positive force in carrying out the MAJCOM or SOA manager and executive development program.

(2) Program integrity is maintained at all levels of command through action and example.

(3) All eligible women and minority employees are informed of the program and are considered by their appropriate supervisors for participation. Efforts will include the identification of those individuals in the goals and timetables contained in the activity EEO plan of action.

(4) Factors such as race, color, sex, religion, national origin, age and educational level do not improperly influence the selection of eligibles to participate in the MAJCOM/SOA manager and executive development program.

### **3-6. Responsibilities of Subordinate Commanders With CCPOS.** The commander of each subordinate activities to which a central civilian personnel office (CCPO) is assigned, and who may designate the chief of the CCPO to act for him or her:

a. Provides leadership and ensures availability of adequate budgetary, manpower, and other resource support necessary to establish and administer an effective civilian supervisory, managerial and executive development program that includes all serviced activities.

b. Ensures timely identification and documentation of training requirements for managers at all levels.

c. Ensures that systematically planned activities are established to provide managers with requisite skills, knowledges and abilities on a priority basis.

d. Encourages the developmental efforts of employees with high potential for assuming managerial positions of greater responsibility and supplementing such efforts with appropriate Air Force-sponsored training and developmental assignments.

### **3-7. Responsibilities of Managers at All Levels:**

a. Define and communicate to their subordinate managers, on a continuing basis, the specific skills, knowledges, abilities and attitudes required to effectively carry out individual management responsibilities.

b. Conduct supervisor/employee appraisal discussion to determine and document requirements for managerial training and developmental assignments.

c. Prepare written individual development plans for subordinate managers specifying the knowledge and abilities to be acquired or sharp-

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ened to assist these employees in achieving their maximum potential.

d. Outline appropriate training and developmental objectives to be accomplished by subordinate managers during the ensuing year.

e. Arrange for the fulfillment of individual development plans prescribed for subordinate managers.

f. Review on a periodic basis, the progress made by subordinate managers toward the training and developmental objectives outlined in their individual development plans.

g. Update individual development plans for their subordinate managers at least annually.

h. Identify and nominate individuals with high potential for assuming more responsible managerial positions as candidates for executive development according to criteria outlined in attachment 2.

### 3-8. Responsibilities of Civilian Personnel Officers (CCPO):

a. Initiate and administer manager development programs to meet the training and developmental needs of managers at all levels.

b. Provide for appropriate refresher training at intervals of at least every 3 years for managers at all levels. Such refresher training should include changes in mission, function, major programs, and such changes in personnel policies, programs, practices and labor-management relations matters, as appropriate.

c. Ensure that all civilian personnel specialists who have not completed the USAF Supervisor's

Course or an equivalent course are scheduled to attend the course on a priority basis.

d. Keep managers informed of methods, procedures, techniques, and thinking in the manager development field. Where necessary, training and assistance will be provided to managers in certain specialized areas such as conducting supervisory/employee appraisals, preparation of individual development plans, and counseling.

e. Assist in identifying managerial needs and organizational requirements and in developing planned programs to meet these needs.

f. Ensure that incumbent senior executives, mid-level managers and individuals with high potential for assuming positions of greater managerial responsibility possess broad interdisciplinary skills extending beyond the confines of their academic or career field specialty attainments.

g. Conduct periodic work force assessment and analyses to determine projected senior executive manpower requirements.

h. Furnish the commander, his staff and other top management representatives with accurate and timely summaries of organizational capabilities and needs.

i. Employ validated management techniques and behavioral research findings in training supervisors, mid-level managers and incumbent executives.

j. Review and evaluate the effectiveness of the supervisory, mid-level manager and executive development program.

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## PART TWO

## AIR FORCE PLAN FOR MANAGER DEVELOPMENT

## Chapter 4

## GENERAL PROGRAM REQUIREMENTS

**4-1. Introduction.** The Air Force plan for supervisory, mid-level manager and executive development consists of an integrated planned career program that:

- a. Takes into account the needs of managers at all levels, from the first-level supervisor up to and including senior executives.
- b. Is readily adaptable to the needs and resources of a specific activity regardless of its organizational location.
- c. Offers a core of learning activities for developing needed managerial skills and provide a framework that can be reinforced by additional activities through resources available both from within and outside the Government.
- d. Encourages an equitable balance between self-development activities initiated and supported by the individual and developmental assignments supported by the Air Force.
- e. Clarifies the functional roles of managers at different organizational levels.
- f. Recognizes the importance of the selection and appraisal processes in relation to individual development planning.

**4-2. Resource Utilization:**

- a. The maximum use of Air Force facilities, training aids, and instructor personnel will be obtained through the coordinated efforts of those responsible for the manager training and executive development of civilian personnel and those responsible for similar training of military personnel.
- b. Where appropriate, participation of military managers in manager development programs planned and conducted primarily for civilian managers is encouraged. All such participation will be in consonance with the requirements and availability of resources.
- c. Existing schools and development programs of other DOD components, other Government agencies and non-Government organizations, including off-the-shelf executive development programs available at universities may be utilized when:

(1) Determined to be more economical or a more effective means for meeting manager training and executive development requirements, or

(2) Requirements cannot be met in Air Force facilities.

**4-3. Selection of Participants:**

a. The overall Air Force requirement will be the governing factor in administering employees to be selected and assigned to manager training and executive development. However, recognition must be given to the personal capabilities and goals of each employee.

b. The selection of persons with potential for assuming positions of greater responsibilities must be without discrimination on the basis of race, color, religion, sex, national origin, age, or any other nonmerit factors which are unrelated to the need for training and development.

c. Eligible women and minority employees will be identified and considered by their supervisors for participation in manager training and executive development.

**4-4. Relationship to Other Personnel Programs.** Manager training and executive development activities will be integrated with civilian career programs and other personnel programs.

a. The provisions of AFR 40-110 and the appropriate volume of AFR 40-113 contain specific guidance to be followed in the administration of manager training and development activities for employees included in established Air Force-wide career programs.

b. The provisions of AFR 40-2 contain specific guidance to be followed in the administration of senior executive personnel.

c. The provisions of the Merit Promotion Plan as outlined in AF Supplement to Basic FPM Chapter 335 (AF 3351) will be followed when selecting employees for manager training and development assignments that are required for promotion or are given primarily to prepare employees for promotion. (See AFR 40-335).

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## Chapter 5

## AIR FORCE PLAN FOR SUPERVISORY DEVELOPMENT

**5-1. Introduction:**

a. The position of first-level supervisor is unique and highly complex. The supervisor is the link between management and the employees. The new first level supervisor does not ordinarily possess the required skills, knowledges and abilities demanded of a supervisory position.

b. The training a new supervisor requires depends on job requirements and the recency of the supervisor's education, training and experience. All new first-level supervisors must receive appropriate initial training to equip them with required skills, knowledges and abilities.

c. The CCPO at the time of initial selection of first-level supervisors will:

(1) Review the supervisor's training, experience and education.

(2) Develop a training plan specifying the kind and duration of supervisory training needed.

(3) Document the personnel records of each new supervisor to clearly indicate when the new supervisor's background has equipped him or her with skills, knowledges and abilities equivalent to those acquired under this plan.

d. After initial training, supervisors must be provided advanced and refresher training based on a continuous appraisal of individual needs and organizational requirements.

e. Working Leaders and Part-Time Supervisors:

(1) Are not subject to the requirements for supervisory training unless actually slated for promotion in the foreseeable future to full-time supervisory positions.

(2) Should be provided training appropriate to the duties and responsibilities of their position.

**5-2. Determination of Position Requirements.**

All supervisory positions are identified during the classification process and verified during the annual review of positions. A first-level supervisory position is one that meets the standards of minimum responsibility defined in the applicable pay schedule. First-level supervisory positions are coded in the position record of the Advanced Personnel Data System-Civilian (APDS-C).

**5-3. Identification of Eligibles.** All current first-level supervisors and all newly assigned first-level supervisors are eligible for and are required to complete initial supervisory training. The employee master personnel record in APDS-C will be coded to indicate whether or not an individual has completed initial supervisory training consisting of:

a. The USAF Supervisor's Course or the 50 hour Management Course for Air Force Supervisors (Mgt I, Part 1), and

b. A course in Civilian Personnel Policies, Practices and Procedures.

**5-4. Meeting Development Needs of Supervisors:**

a. **Initial Training.** First-level supervisors either before they assume their new duties or within 3 months after assignment to a supervisory position will be provided with initial supervisory training. Within the Air Force, initial supervisory training will consist of:

(1) **The USAF Supervisor's Course.** This course is primarily designed to provide first level supervisors, regardless of organizational component, with leadership and management skills required in supervisory positions.

(2) **Civilian Personnel Policies, Practices and Procedures Course.** This course is primarily designed to provide first-level supervisors of civilian employees with background information, and an understanding of applicable personnel laws and regulations needed to effectively carry out their civilian personnel management responsibilities. CCPOs may provide first-level supervisors with this training either before or after completion of the USAF Supervisor's Course but, all first-level supervisors must complete applicable portions within 3 months after assignment to a supervisory position. Pending the HQ USAF publication of a standard course in Civilian Personnel Policies, Practices and Procedures, CCPOs may utilize command or activity developed courses or seminars. Those courses and seminars will consist of a minimum of 30 hours and must include coverage of the following:

(a) Recruitment, Selection, and Placement.

(b) Employee Training and Development.

(c) Classification and Position Management.

(d) Merit Promotion Program.

(e) Employee Rights, Benefits, and Responsibilities.

(f) Employee Appeals and Grievance Procedures.

(g) Labor Management Relations.

(h) EEO and Other Special Emphasis Programs.

(i) Career Management Programs.

(j) Performance Appraisal and Evaluation.

(k) Motivation and Productivity.

(l) Disciplinary and Adverse Actions.

(m) Occupational Safety and Health.

(n) Alcohol and Drug Abuse.

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(o) Incentive Awards Program.

(p) Performance Effectiveness Program.

b. **Equivalent Training.** First-level supervisors whose master personnel records have been documented to indicate completion of equivalent training may be exempted from the initial supervisory training requirements. Completion of other Federal Government agency courses meeting the requirements for supervisory training as outlined in FPM chapter 410, appendix A may be considered as equivalent if such training was completed after April 1969. The following courses if completed, may be accepted as equivalent training for the USAF Supervisor's Course:

(1) The Management Course for Air Force Supervisor's (Mgt-I, Part 1).

(2) The Resident Squadron Officer's Course.

(3) The Air Command and Staff School.

(4) The NCO Academy or NCO Leadership Course (see AFR 50-39).

c. **Advanced Training.** Additional training to meet the subsequent needs of first-level super-

visors will be based on the individual's background, the supervisory situation, and organizational requirements. Advanced training should be built upon a continuous systematic appraisal of individual needs and management's requirement. The determination of what advanced training a supervisor needs should be appropriately documented and made part of the employee's individual development plan.

d. **Refresher Training.** CCPOs must periodically review the effectiveness of civilian personnel management and administration. When the review discloses that there have been changes in mission, functions, or programs added, the CCPO will arrange for appropriate supervisory refresher and update training as may be necessary.

5-5. **Evaluation.** The evaluation of the supervisory development program will be an integral part of civilian personnel management and administration as outlined in AFRs 40-5 and 40-250.

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## Chapter 6

## AIR FORCE PLAN FOR MID-LEVEL MANAGER DEVELOPMENT

**6-1. Introduction.** Mid-level managers serve as the critical link between top and first-line management. As such, they have unique opportunities to identify and communicate, and resolve problems which affect the organization structure and operation. Their influence is considerable in determining the options for improving organizational effectiveness. Mid-level managers must possess an understanding of both the organizational unit and the total system in which they operate. Optimal knowledge by the mid-level manager of both the technical and the sociopolitical factors in the system facilitates the change process, thus reducing organizational stress during periods of fluctuation and transition.

**6-2. Identification of Managerial Positions:**

a. All mid-level managerial positions will be identified for inclusion in the mid-level manager development program. (See paragraph 1-2b.)

b. A managerial position is one in which the incumbent:

(1) Directs the work of an organization or major program.

(2) Is held accountable for the success of a specific line or staff program, project, functions or activities.

(3) Monitors progress toward goals, and evaluates organizational effectiveness and makes appropriate adjustments.

(4) Performs a series of functions requiring basic managerial skills and abilities involving quantitative management systems and techniques, and the application of the behavioral sciences and interpersonal techniques.

c. Project and program managers, and incumbents of staff level positions classified at grades GS-12 through GS-15 and equivalent levels who have decision making authority with broad organizational impact shall be identified for inclusion in the mid-level manager development program.

**6-3. Objectives:**

a. Enable incumbents of mid-level managerial positions to perform effectively all tasks associated within their area of responsibility.

b. Provide individuals with high potential for assuming positions of greater responsibility with requisite training, educational and developmental experiences needed to meet projected managerial position requirements.

c. Enable mid-level managers to execute the following tasks:

(1) Describe the overall activity and com-

mand or SOA mission, organizational interrelationships, processes and functions.

(2) Develop a plan of action to assure accomplishment of their assigned objectives.

(3) Identify, categorize, and resolve complex operational and interpersonal problems.

(4) Foster equal employment opportunity and affirmative action goals of the organization.

(5) Institute a management system which assures involvement of subordinates in decision making.

(6) Institute a system to measure, evaluate and report unit progress against preset goals and objectives.

(7) Develop subordinates to insure optimal replacement for key positions to prevent technical, managerial, and administrative obsolescence.

(8) Establish a work climate which encourages employee self-discipline and motivation.

(9) Communicate ideas concisely to subordinates, peers, and supervisors.

(10) Meet specified project suspense dates consistently.

**6-4. Program Administration:**

a. **HQ USAF/DPC.** The Director of Civilian Personnel develops a system for establishing, maintaining and evaluating the Air Force Plan for Mid-Level Manager Development.

b. **MAJCOMs and SOAs.** The commander of each MAJCOM and separate operating agency acting through the Executive Development Council and the command executive manpower management officer establishes, monitors, and evaluates mid-level manager development activities throughout the MAJCOM and separate operating agency.

c. **Subordinate Activities.** The Civilian Personnel Officer of each Air Force activity to which a central civilian personnel office (CCPO) is assigned, who may designate an appropriate member of the staff:

(1) Develops and maintains a system for establishing, implementing and evaluating mid-level manager development programs for all activities serviced.

(2) Recommends, in conjunction with functional staff activities, dollar amounts for inclusion in the budget "call" sufficient to meet mid-level manager development requirements.

(3) Develops an evaluation plan which provides for a summary of findings embracing each program requirement for the current year and the significant actions planned for the coming year. Special attention is given to actions requiring management support and implementation.

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(See AFR 40-5, chapter 1, section D.)

(4) Reviews and evaluates program developments and plans for improvement jointly with functional staff activities (e.g., Procurement, Logistics, Intelligence etc.) according to the criteria contained in MAJCOM and Separate Operating Agency supplements implementing this issuance. Civilian Policy Boards, career planning boards and similar groups when specifically designated by the MAJCOM and Separate Operating Agency may be utilized for this purpose.

**6-5. Program Elements.** Although the scope and complexity of MAJCOM/SOA and subordinate activity mid-level manager development programs may vary to some degree, all must include the following basic elements:

a. An inventory of present and projected mid-level manager positions in grades GS-12 through GS-15 or equivalent levels.

b. A 5 year forecast of anticipated losses.

c. Specification of the knowledge and skill requirements covering each mid-level managerial position.

d. Assessment of mid-level managers to determine replacement requirements and the specific training and developmental experiences needed. A total systems analysis must be conducted in conjunction with individual development planning.

e. Identification of all newly selected managers.

f. Identification of all current managers selected for another managerial position.

g. Nomination and selection procedures which are fully consistent with merit promotion regulations and procedures.

h. A program of training and developmental experiences which effectively responds to both identified individual performance needs and contributes to the accomplishment of organizational goals and objectives.

i. A system for documenting and reporting program results and activities.

#### **6-6. Mobility:**

##### **a. General:**

(1) Air Force Policy. Encourages the development of personnel through temporary rotational and functional assignments. Both functional mobility and geographic mobility are to be considered with selection depending on costs and related benefits.

(2) Mobility Agreements. Employees are not required to sign a mobility agreement as a condition for nomination and selection to the mid-level manager development program. When reassignment or promotion involves mobility, the mobility requirement is regarded as a condition of employment; therefore, the willingness to be

mobile is at the option of the subject individual. With respect to mid-level managers, mobility is encouraged to ensure a thorough understanding of the total system in which the manager functions.

(3) Career Management Programs. Managers participating in a formal career management program are subject to the specific conditions outlined for that program.

##### **b. Specific:**

(1) Geographic Mobility involves a change in permanent duty assignment from one location to another location which necessitates a relocation of the residence of the employee incident to the change in duty assignments and the provisions of which are specified in AFR 40-303. Such a move should be made according to the planned development of the mid-level manager and must result in a tangible benefit to both the organization and the individual. Geographic relocation of personnel, particularly for developmental purposes is not normally considered cost-effective for periods of less than 18 months.

(2) Functional Mobility involves either a change in duty assignment (not requiring a relocation of the residence of the employee) and/or the substitution of new functions and responsibilities not covered by the general position description. These moves are designed for developmental purposes and thus must not abridge or violate the rights of the individual or the legal contract of employment. As with geographic mobility plans, functional changes must be accomplished according to these needs identified and documented in the manager's individual development plan.

#### **6-7. Determination of Requirements:**

##### **a. Identification of Organizational Needs:**

(1) HQ USAF/Director of Civilian Personnel:  
(a) Ensures that the Advanced Personnel Data System-Civilian (APDS-C) Master Personnel File develops and maintains the following data on current and projected authorized mid-level positions (GS-12 through GS-15 and equivalent grade levels):

1. MAJCOM Identification.
2. Organizational Structure Identification.
3. Functional Account Code.
4. Program Element Code.
5. Pay Plan, Occupational Group, Series and Grade.
6. Position Title.

(b) Ensures that the Advanced Personnel Data System-Civilian (APDS-C) Master Personnel File develops and maintains the following data on incumbents of mid-level positions (GS-12 through GS-15 and equivalent grade levels):

1. Name of Incumbent.

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2. Social Security Account Number.
3. Career Program Personnel Identifier.
4. Employee with Potential Identifier.
5. Individual Development Plan Indicator.

(c) Ensures that work force assessment studies are conducted on a periodic basis to determine the total projected Air Force-wide mid-level manager replacement and development needs for the current and next consecutive 5 years by:

1. MAJCOM Identification.
2. Organizational Structure Identification.
3. Pay Plan, Occupational Group, Series and Grade.
4. Position Title.

NOTE: Work force assessment studies are accomplished by HQ USAF/DPC in conjunction with HQ USAF functional chiefs, (e.g., Comptroller, Intelligence, Logistics, etc.)

(d) Develops and monitors total mid-level manager replacement and development plans on an Air Force-wide basis over the next consecutive 5 years.

(2) MAJCOM and SOA. The Director of Civilian Personnel:

(a) Develops and maintains the following data on total current and projected MAJCOM/SOA authorized mid-level positions (GS-12 through GS-15 and equivalent levels):

1. Organizational Structure Identification.
2. Functional Account Code.
3. Program Element Code.
4. Pay, Plan, Occupational Group, Series and Grade.
5. Position Title.

(b) Develops and maintains the following data on all occupied mid-level positions (GS-12 through GS-15 and equivalent levels):

1. Name of incumbent.
2. Social Security Account Number of incumbent.
3. Career Program Personnel Identifier.
4. Employee with Potential Identifier.
5. Individual Development Plan Indicator.

(c) In conjunction with MAJCOM functional chiefs (e.g., Procurement, Intelligence, Logistics, etc.) conducts work force assessments on a periodic basis to determine the total current and projected MAJCOM or SOA mid-level manager replacement and development needs for the next consecutive 5 years by:

1. Number.
2. Pay Plan, Occupational Group, Series, and Grade.
3. Position Title.
4. Organizational Structure Identification.
5. Type of significant managerial training required.
6. Type of significant developmental ex-

perience required.

(3) CCPOs. Develop and maintain the following data for each mid-level position serviced (GS-12 through GS-15 and equivalent levels):

(a) Inventory of current mid-level positions by:

1. Major Command Identification.
2. Organizational Structure Identification.
3. Functional Account Code.
4. Program Element Code.
5. Pay Plan, Occupational Group, Series and Grade.
6. Position Title.

(b) Inventory of mid-level positions occupied by:

1. Name of incumbent.
2. Social Security Account Number of incumbent.
3. Career Program Personnel Identifier.
4. Employee with Potential Identifier.
5. Individual Development Plan Indicator.

(c) Inventory of total projected mid-level manager replacement and development needs for the current and next consecutive 5 years by:

1. Major Command Identification.
2. Organizational Structure Identification.
3. Pay Plan, Occupational Group, Series and Grade.
4. Job Titles.

(d) Resource requirements plans to meet projected significant managerial training and developmental experiences.

(e) History of replacement actions for all mid-level manager positions serviced by:

1. Manpower Position Control Number.
2. Dates of Assignment.
3. Type of Position.
4. Pay Plan, Occupational Group, Series and Grade.
5. Job Titles.

**b. Identification of Individual Manager Development Needs:**

(1) Specification of Knowledge and Ability Requirements. For each identified mid-level managerial position, there will be an identification of the knowledges and abilities required for maximum effectiveness in that position. Environmental and managerial knowledges as well as interpersonal and personal abilities will be identified to determine the types of managerial training and developmental experiences needed by particular individuals to achieve maximum effectiveness.

(2) Assessment of Managerial Knowledges and Abilities. For each incumbent of a mid-level managerial position, there will be an assessment to determine the extent to which the incumbent possesses the knowledges and abilities identified as requirements for their present position or pro-



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spective managerial positions. Incumbent managers and individuals designated as high potential for assuming managerial positions requiring additional managerial training and developmental experiences to acquire or sharpen the knowledges and abilities required for maximum job effectiveness will be identified in the mid-level manager development program.

**c. Guidelines for Assessing Mid-Level Manager Development Needs.** Attachment 1 contains guidelines to be used in assessing mid-level manager development needs.

**6-8. Identification of Eligibles.** The CCPO in conjunction with management officials shall identify individuals in the following categories as eligible for participation in the mid-level manager development program:

**a. Incumbent Mid-Level Managers.** Incumbents of designated mid-level managerial positions in grades GS-12, GS-13, GS-14, and GS-15 and equivalent levels. (See chapters 1-2b(2) and 6-2.)

(1) Newly Selected Managers. All individuals who were selected for their first managerial position on or after 1 July 1974 will be identified and will be considered as eligible for participation in the program. Newly selected managers will be assessed by their supervisors to determine the managerial knowledges and abilities needed for efficient performance of assigned duties and developmental experiences planned accordingly.

(2) Current Managers Selected for Another Managerial Position. All individuals currently occupying managerial positions who are selected for another managerial position shall be identified and shall be considered eligible for participation in the program. An assessment will be made by the supervisor of the managerial knowledge and skills needed in the new managerial position and developmental experiences planned accordingly.

**b. Project and Program Managers.** Individuals assigned to project and program management positions in grades GS-12, GS-13, GS-14 and GS-15 and equivalent levels who have decision making authority with broad organizational impact will be identified and will be considered eligible for participation in the program when nominated by their supervisors and approved by the executive development council.

**c. Incumbents of Staff-level Positions.** Individuals assigned to staff-level positions in grades GS-12, GS-13, GS-14, and GS-15 and equivalent levels who have responsibility for policy, program planning, and evaluation of broad organizational impact will be identified and will be eligible for participation in the program when nominated by their supervisors and approved by the execu-

tive development council.

**d. High Potential Mid-Level Employees.** Employees in grades GS-12, GS-13, GS-14, and GS-15 who have been determined to have high potential for top managerial positions will be integrated into the mid-level manager development program. The criteria and process to be employed for identifying individuals with high potential for assuming positions of greater responsibility will be used uniformly throughout the command or SOA by the Executive Development Council. See attachment 2 for guidelines to be followed in identifying high potential employees.

**6-9. Meeting Development Needs for Mid-Level Managers.** Training and developmental assignments shall be provided mid-level managers based on the specific knowledge and ability requirements identified for maximum effectiveness in such positions. Within the Air Force, training and development needs of mid-level managers are determined and documented upon initial assignment to such managerial positions and during periodic career appraisals.

**a. Eligibility for Specific Programs.** Eligibility for attendance at specific programs of development will be determined by the criteria of subject program and according to established priorities.

**b. Priority Setting.** Decisions on mid-level manager development must be based on:

(1) Priorities defined in the individual development plan which outline those needs most critical according to performance-related problems or anticipated changes in duties and responsibilities.

(2) Priorities defined by management officials in conjunction with the MAJCOM/SOA/Installation civilian personnel office.

(3) Mandatory requirements.

**c. Mandatory Requirements:**

(1) All newly selected managers and current managers selected for another mid-level managerial position will have their training and development needs determined and documented at the time of initial assignment to the new position. Newly appointed managers will be provided development which focusses on the acquisition or sharpening of specific skills and knowledges needed for maximum effectiveness in the newly occupied position.

(a) A minimum of 40 hours of training related to the role and tasks of the mid-level manager will be provided within the first year of assignment to an initial managerial position.

(b) Newly appointed mid-level managers should be considered for attendance at the CSC Executive Seminar Center resident Seminar for New Managers or equivalent training.

(2) Current managers selected for another

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managerial position will be provided carefully planned and scheduled developmental activities for filling gaps in experience, sharpening managerial skills, acquiring a deeper understanding of internal and external environmental factors, and keeping pace with new developments in technical or program areas. Individuals moving from one managerial for another should be considered for attendance at the CSC Executive Seminar Center resident Seminar for Advancing Managers or similar training.

(3) Individuals with potential for assuming managerial positions of greater responsibility will be provided training and development as outlined in their individual development plans as approved by the Executive Development Council.

(4) All mid-level managers will receive appropriate refresher training at intervals of at least every 3 years. Such refresher training would reflect changes in missions, goals, objectives, organization structure, current programs and problems, line and staff functions and inter-relationships.

#### 6-10. Individual Development Plans (IDPs):

a. IDP must be prepared for:

- (1) All newly selected managers.
- (2) All current managers selected for another managerial position.
- (3) All nonmanagers and incumbent managers at GS-12, GS-13, GS-14, and GS-15 and equivalent levels who have been identified as having potential for top managerial positions, and
- (4) All other managers identified as being in need of additional developmental experiences to acquire or sharpen the knowledges and abilities required for maximum job effectiveness.

b. The IDP must be prepared by the supervisor in writing and agreed to by the employee and must:

- (1) Include target positions and/or occupational goals.
- (2) Specify the knowledges and abilities to be acquired or sharpened to achieve maximum effectiveness in the position.
- (3) Contain a schedule of appropriate developmental activities with stated objectives to be achieved within a given time frame which may include the following:
  - (a) On-the-job developmental experiences.
  - (b) Off-the-job formal training.
  - (c) Recommended self-development activities.
  - (d) Selective mobility assignments.
- (4) Contain an estimate of the resources needed to accomplish the proposed training and developmental activities.
- (5) Be reviewed and updated by the super-

visor and the employee no less than annually at the time of the employee's career appraisal.

c. Guidelines for Individual Development Planning. Attachment 3 contains guidelines for the preparation of individual development plans and description of various types of manager development methods.

d. Review and Approval of IDPs:

(1) IDPs will be reviewed and concurred in by the next level of management prior to the submission to the Executive Development Council (or Career Management Board or panel).

(2) The MAJCOM or SOA Executive Development Council (or Career Management Board or panel) will review the IDPs of high potential managers and designate the priority of significant developmental experience compatible with the requirements contained in the approved Executive Development Resources Requirements Plan.

(3) The EMMO will ensure that the training and developmental activities reflected in the approved IDPs will be included in forecasts of requirements and appropriate inputs to the FY Operations Operating Budget and budget estimates.

e. The EMMO will coordinate developmental and mobility assignments between major organizational elements within the Air Force as well as outside jurisdiction including State and local Governments and institutions of higher learning.

#### 6-11. Mid-Level Manager Development Resources Requirements Plan:

a. OMB Requirements:

(1) OMB in Circular A-48 (Revised) sets forth responsibilities for planning training investments. OMB requires that each Federal agency provide for future manpower requirements through the systematic development of high potential employees.

(2) Guidelines established by OMB for executive development in the Federal Service provide that there be a commitment of dollar and manpower resources by agencies, to systematically identify and develop individuals with high potential; and engage career managers in planned developmental experiences.

(3) OMB in connection with its budgetary responsibilities requires each agency to submit executive development resources requirements plans. These plans are reviewed by OMB budget examiners periodically to determine the adequacy of each agency commitment to executive development.

b. Air Force Requirements:

(1) Each MAJCOM or SOA is required to formulate an executive development resources requirement plan. This plan is developed through

the interaction of staff personnel responsible for executive development and responsible line managers. Resource requirements for mid-level manager development are included as part of the executive development resource requirements plan.

(2) Commanders ensure that the response to the Headquarters USAF "Call" for the FY Operations Operating Budget and budget estimates adequately reflect the MAJCOM or SOA executive development resources requirement plan.

(3) The EMMO must ensure that requirements for HQ USAF centrally funded courses and programs that are contained in approved individual development plans bear a relationship to resource requirements reflected in the FY Operations Operating Budget estimates.

**c. MAJCOM/SOA Inputs.** Each MAJCOM/SOA executive development resources requirement plan is developed in two parts:

(1) Part 1 contains data that includes executive development resource requirements financed through MAJCOM/SOA/activity monitored operations operating budgets.

(2) Part 2 contains data that includes executive development resource requirements which are part of:

(a) The USAF Training Program monitored and conducted by the Air Training Command or the Air University.

(b) Other Air Force centrally funded programs such as the Federal Executive Institute, CSC Executive Seminar Center Program and the Federal Executive Development Program.

**6-12. Documentation and Records.** Each MAJCOM or SOA and CCPO will ensure that the following data is available on a current basis, and made available on request to authorized members of the USAF Office of Civilian Personnel Operations/Program Evaluation Division, USAF IG Teams, USAF Audit Agency, and CSC Personnel Management Evaluation Teams.

a. A description of the installation mid-level manager development program including:

(1) Goals and objectives.

(2) Plan for determining and meeting needs.

(3) Program content.

(4) Procedures.

(5) Summary of participation during the previous fiscal year.

b. The number of full-time employees by occupational series, and in grades GS-12 through GS-15 and equivalent levels.

c. The number of full-time managerial positions by organization, occupational series and in grades GS-12 through 15 and equivalent levels.

d. The number of managerial positions with identified knowledge and ability requirements in grades GS-12 through GS-15 and equivalent levels.

e. The number of incumbent managers with assessed knowledges and abilities in grades GS-12 through GS-15 and equivalent levels.

f. The number of incumbent managers with IDPs in grades GS-12 through GS-15 and equivalent levels.

g. The number of newly selected and re-assigned managers during the current calendar year with assessed knowledges and abilities in grades GS-12 through GS-15 and equivalent levels.

h. The number of newly selected and re-assigned managers with IDPs during the current calendar year in grades GS-12 through GS-15 and equivalent levels.

i. The number of high potential nonmanagers identified during the current calendar year in grades GS-12 through GS-15 and equivalent levels.

**6-13. Evaluation.** Each MAJCOM and SOA evaluates the mid-level manager development program as an integral part of civilian personnel management and administration as outlined in AFRs 40-5 and 40-250.

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## Chapter 7

## AIR FORCE PLAN FOR EXECUTIVE DEVELOPMENT

**7-1. Introduction.** The executive development program is designed to provide civilian managers who demonstrate high potential for assuming positions with the opportunity and incentive to develop in a way that assures continuation of high standards in the performance of the United States Air Force mission. Civilian executive development is not a separate function, but is a part of the single management system for the procurement, training, education, utilization, sustainment and retirement of civilians at the executive level. Effective development of individuals must be carefully planned and integrated into this single management system. Without such a system, promotion, reassignment, on-the-job training, formal training, and other personnel programs and actions can attain desired results only by coincidence. Volume V (TOPIC) and Volume VI Personnel Programming System of the USAF Personnel Plan prescribes the Air Force approach to total force management. Civilian executive development will be administered in accordance with TOPIC.

**7-2. Objectives:**

- a. The primary objective of executive development is to ensure that sufficient highly qualified personnel are always available to assume positions of increasing responsibility and scope throughout the Air Force.
- b. Supplementary objectives are to:
  - (1) Improve the performance and utilization of incumbent executives in their present jobs.
  - (2) Provide the resources to establish and maintain an effective program geared to Air Force mission objectives.
  - (3) Promote the application of proven management and behavioral science based on methods and practices to improve individual and organizational effectiveness.
  - (4) Select and accelerate the development of the best qualified high potential managers and executives to meet anticipated manpower needs of the Air Force.

**7-3. Program Administration.** The detailed responsibilities for administration of this program are contained in chapter 3.

**a. The Director of Civilian Personnel (DPC) HQ USAF:**

- (1) Is designated as the Executive Manpower Management Officer.
- (2) Ensure that an effective Air Force-wide plan for civilian executive development is designed and implemented under the policy approved by the Executive Assignment Board.

**b. MAJCOMs and SOAs.** Each MAJCOM commander acting through the Executive Development Council and the command executive manpower management officer (CEMMO):

- (1) Establishes, monitors, and evaluates executive development activities throughout the MAJCOM and Separate Operating Agency.
- (2) Ensures that the response to the Headquarters USAF "Call" for the FY Operations Operating Budget (OOB) and budget estimates adequately reflect the MAJCOM or SOA executive development resources requirements plan.

**7-4. Mobility:**

a. The primary means of executive development within the Air Force is through on-the-job development. Among the most effective on-the-job development activities are programs which involve functional, organizational and geographical mobility.

b. Personnel with broad experience obtained in more than one function, organization, or geographic location have acquired knowledge and skills that benefit themselves and the Air Force. This enables them to perform more effectively on their current job and enhance their opportunities for promotion. Employees aspiring to high level responsibilities and positions should understand the developmental advantages of mobility.

c. Willingness to be mobile will be a requirement for entry into the Air Force Executive Development Program only:

- (1) When the individual is being developed for a specific target position for which mobility is a requirement, or
- (2) When the individual is being developed as part of a Career Management Program for which mobility is a requirement, or
- (3) When the individual is selected for a significant training course or developmental program for which mobility is a requirement.

**7-5. Determination of Senior Executive Manpower Requirements:****a. Organization Manning:**

(1) AFR 26-7 establishes the requirement for an Air Force-wide annual review of senior executive resources and requirements. Detailed requirements, procedures and guidance for executive manpower management are prescribed in AFR 40-2. The scope of the Civilian Executive Development Program will be in relation to the number of senior executive positions to be filled.

(2) An annual survey of senior executive position requirements (GS-16 and above and equivalent) is conducted according to AFR 40-2, chapter

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4, paragraph 4-2.

(3) An annual survey of mid-level manager position requirements (GS-12 through GS-15 and equivalent) is also conducted.

(4) The projection of replacement requirements for mid-level manager and senior executive positions is based on anticipated retirements, other anticipated attrition, and program changes. These projections will include:

(a) Gross manning requirements at each grade level.

(b) Requirements for specific positions by title, series and grade.

(c) Requirements for specific skills, knowledges and abilities required by all managerial positions.

b. The number of high potential mid-level managers selected for the Executive Development Program will be at least twice the estimated number of manager vacancies to occur in the next grade during the following year. Where more precise information is available concerning specific vacancies, the numbers may be determined more accurately than on a ratio basis. In these circumstances documentation is maintained to indicate the basis for selecting the number to be developed.

c. Documentation. The Advanced Personnel Data System—Civilian data base will be used to make projections of executive and mid-level manager replacement requirements by:

- (1) MAJCOM/SOA ID.
- (2) Organizational ID.
- (3) Title.
- (4) Occupational Series.
- (5) Grade.

#### 7-6. Identification of Eligibles:

##### a. Selection Procedure:

(1) All incumbent senior executives (GS-16 and above or equivalent) are included in the Air Force Executive Development Program. Exception to participation in the program must be approved at a level no lower than the Air Staff DCS or chief of comparable offices for HQ USAF personnel or the Vice Commander of MAJCOMs or SOAs.

(2) All incumbent managers at grades GS-12 through GS-15 or equivalent serving in continuing positions who have been nominated by their supervisors as candidates with high potential for assuming senior executive positions are eligible for participation in the program upon selection by the Executive Development Council. The criteria used for the selection of high potential mid-level managers will be as outlined in attachment 2.

(3) Program and project managers, and non-managers assigned to staff-level positions at

grades GS-12 through GS-15, serving in continuing positions, who have been nominated by their supervisors as candidates with high potential for assuming senior executive positions, are eligible for participation in the program upon selection by the Executive Development Council.

b. **Self-Nomination.** Individuals not initially identified and nominated by their supervisors as candidates, may petition the Executive Secretary of the Executive Development Council for consideration by the Executive Development Council as a participant in the program. The petition must be in writing by the individual and contain all of the data outlined in attachment 2, paragraph 4c.

c. **Documentation.** All candidates for executive development who are selected as participants by the Executive Development Council shall be identified and coded in the Advanced Personnel Data System—Civilian (APDS-C) as Employee with Potential Indicator Executive Development. The EMMO will compare those who have been selected with the Air Force-wide executive and mid-level manager replacement requirements to insure that these requirements will be met on both a quantitative and qualitative basis.

#### 7-7. Determination of Individual Needs:

a. Individual development needs of senior executive personnel are determined and documented at the time of initial assignment to a senior executive position and during periodic career appraisals.

b. During the identification of eligibles for participation in the Air Force Executive Development Program, development needs of individuals nominated by supervisors as having high potential for assuming senior executive managerial positions may not be obvious to the immediate supervisor. The Executive Development Council usually provides an input to development planning that is broader than that provided by the immediate supervisor. This broad input is transmitted to the immediate supervisor who considers the Council's comments and recommendations preliminary to an appraisal interview with the participant.

c. The primary focus of the appraisal interview should be the development of the participant. The participant should be given the opportunity to suggest what developmental activities are needed. The gaps in the participant's observations can be filled by pointing out the additional areas which were considered by the Council and the supervisor.

#### 7-8. Individual Development Plans:

##### a. Mandatory Requirements:

- (1) Individual development plans must be

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prepared for all proposed appointees to senior executive positions (see FPM Letter 305-10). CSC Form 917, Executive Selection Form, will be used to enter the planned developmental experience planned for the first year after appointment to a senior executive position.

(2) Individual development plans will be prepared for all individuals nominated by supervisors as candidates for assignment to the Executive Development Program. The plan will:

(a) Specify the objectives to be achieved by each development activity.

(b) A time schedule for completion.

(c) An estimate of the resources required.

(d) Priorities based on the relative importance of the various needs and consideration of what goals are feasible of achievement in the period covered by the plan.

b. Attachment 3 contains guidelines for individual development planning and a description of the various types of manager development activities.

c. Annual Update. Individual development plans will be updated annually at the time of the annual career appraisal.

**7-9. Executive Development Resources Requirements Plan.** Development requirements contained in individual development plans are consolidated by each MAJCOM and SOA into a Manager and Executive Development Resources Requirement Plan. This plan includes development requirements as indicated on individual development plans with identification of each requirement the installation or activity is able to support. The plan is formulated through the interaction of staff people responsible for executive development, the Executive Development Council, budget officials and responsible line management.

a. MAJCOM or SOA submits to HQ USAF/DPC a consolidated Manager and Executive Development Resource Requirements Plan when requested. An Air Force-wide plan is developed by HQ USAF/DPCMT and furnished to OMB as specified in an OMB bulletin.

b. Commanders ensure that the Executive Development Resources Requirements Plan is reflected in the Headquarters USAF "CALL" for FY Operations Operating Budget and budget estimates.

**7-10. Meeting Development Needs of Executives:**

a. **Selection Procedure:**

(1) Selection for all manager and executive development courses and programs will be compatible with the requirements in the approved Executive Development Resources Requirement

plan.

(1) Attendance at all manager and executive development programs is subject to specific eligibility requirements and is approved at the appropriate level of management and the Executive Development Council as appropriate.

(3) Nominations for all significant long-term manager and executive development programs will include a plan for the utilization of the individual upon the completion of the training assignment.

b. **Selective Assignment for Development:**

(1) Senior executives and high potential mid-level managers are considered for assignment to vacancies for development purposes without regard to whether or not these individuals meet the open competitive requirements of the vacancy.

(2) The DOD-Wide Training Agreement for Rotational Assignment for Development of Key Personnel of the Department of Defense makes possible the assignment (for purposes of development) of senior executives and high potential mid-level managers for temporary periods of 6 months to 3 years. These exchanges and assignments may be made across functional and organizational lines without regard to Civil Service Commission competitive qualification requirements and detail restrictions; however, exchanges involving senior executive personnel require prior Civil Service Commission concurrence. (See AFR 40-2.) The individual may continue for personnel and payroll purposes in the position from which assigned.

(3) Assignments for development purposes that do not meet the criteria for the DOD-Wide Training Agreement for Rotational Assignments for Development of Key Personnel of the Department of Defense are made under the authority of Civil Service Commission approved Executive Development Agreements prescribed by FPM Chapter 412, subchapter 2.

(4) Proposed assignments between MAJCOMs or SOAs, to HQ USAF or outside the Air Force will be submitted to HQ USAF/DPC by the executive secretary of the Executive Development Council. Each request for a developmental assignment will include a recent SF-171 and a copy of the Individual Development Plan.

**7-11. Consideration of Incumbent Executives and High Potential Mid-Level Managers for Reassignment and Promotion:**

a. Executive level (GS-16 and above) and GS-15 vacancies.

(1) In accordance with AFR 40-2 and AFR 40-300, all vacancies at the GS-15 level and above are announced to all Air Force CCPOs.

(2) The executive secretary of each MAJCOM

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and SOA Executive Development Council receives copies of all vacancy announcements GS-15 and above. The duties contained in each vacancy announcement are compared to developmental assignment requirements contained in the MAJCOM or SOA Manager and Executive Development Resources Requirements Plan.

(3) If assignment to a vacancy will meet a need contained in the Executive Development Resources Requirements Plan, the executive secretary of the Executive Development Council will contact the executive or high potential mid-level manager to determine his or her interest in applying for reassignment or promotion to the vacancy. The executive or high potential mid-level manager is encouraged to apply for the vacancy.

(4) All MAJCOMs and SOAs given meaningful consideration to all incumbent executives and high potential mid-level managers who apply for reassignment or promotion to announced vacancies.

b. Vacancies at the GS-13 and GS-14 levels:

(1) Vacancies at the GS-13 and GS-14 levels are announced throughout the area of consideration required by DOD, Air Force, MAJCOM, SOA or installation Career Management Programs or merit promotion programs.

(2) Administrators of Career Management Programs and merit promotion programs assure

that high potential mid-level managers receive meaningful consideration for reassignment and promotion to vacancies within the applicable area of consideration.

#### 7-12. Evaluation:

a. Each MAJCOM and SOA annually evaluates the participation of their activity in the Air Force Executive Development Program. This evaluation is an integral part of civilian personnel management and administration as outlined in AFRs 40-5 and 40-250. This evaluation will also include:

(1) The progress in meeting the objectives established by their Executive Development Council.

(2) The impact of executive development programs on operations as well as on individual performance.

(3) Advancement of participants in the Executive Development Program to higher level positions.

b. HQ USAF/DPC annually evaluates the Air Force Executive Development Program. This evaluation includes:

(1) Programs of MAJCOM and SOA in meeting Air Force goals.

(2) Adequacy of the Air Force Executive Development Program as to scope and size.

BY ORDER OF THE SECRETARY OF THE AIR FORCE

OFFICIAL

DAVID C. JONES, General, USAF  
Chief of Staff

JAMES J. SHEPARD, Colonel, USAF  
Director of Administration

#### SUMMARY OF REVISED, DELETED, OR ADDED MATERIAL

This regulation is a complete revision and restructuring of AFR 40-418 (8 September 1971) to incorporate the latest changes in policy and procedures concerning manager development. It assigns responsibilities for implementing the Air Force Plan for Manager Development, chapter 3. It establishes and outlines specific requirements for the Air Force plan for supervisory development, chapter 5; mid-level manager development, chapter 6; and executive development, chapter 7. Guidelines are provided for assessing mid-level manager development needs, atch 1, the identification of high potential personnel for assuming managerial positions of greater responsibility, atch 2 and for individual development planning, atch 3.

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## GUIDELINES FOR ASSESSING MID-LEVEL MANAGER DEVELOPMENT NEEDS

1. **Introduction.** An assessment of mid-level managers will be made at the time of initial assignment to a managerial position and annually thereafter. A managerial position is one in which the incumbent:
    - a. Directs the work of an organization or major program.
    - b. Is held accountable for the success of a specific line or staff programs, projects, functions or activities.
    - c. Monitors the progress of the organization toward goals and periodically evaluates and makes appropriate adjustments, and
    - d. Performs most of the following duties:
      - (1) Determines goals and develops plans for an organization independently of or jointly with higher management;
      - (2) Contributes significantly to the determination of resource needs and allocation of resources, and is held accountable for their effective use;
      - (3) Makes or recommends organizational changes which have considerable impact, such as those involving basic structure, operating costs, or key positions;
      - (4) Considers a broad spectrum of factors when making decisions (or recommendations to higher-level management) including public relations, Congressional relations, labor-management relations, public stances, effect on other organizations and other parts of the organization, economic impact, and the like;
      - (5) Coordinates program efforts with other internal activities or with the activities of other agencies;
      - (6) Assesses the impact on organization programs of developments in other parts of the agency, in other Government entities, and in private sector;
      - (7) Sets policy for the organization in such areas as determining program emphasis and operating guidelines; understands and communicates agency policies and priorities throughout the organization managed;
      - (8) Deals with general personnel management policy matters affecting the entire organization, with personnel actions affecting key employees, or other actions with possible serious repercussions; and
      - (9) Delegates authority to subordinate supervisors and holds them responsible for the performance of their organizational units.
- this list is to provide a basis for:
- (1) Identifying the knowledges and abilities required for maximum effectiveness in particular managerial positions.
  - (2) Determining or judging the extent to which individuals possess the required managerial knowledges and abilities; and
  - (3) Determining the type of developmental experiences needed by the particular individual to achieve maximum effectiveness.
- b. The basic managerial knowledges and abilities listed below are broad and have some applicability to all managerial positions regardless of grade or salary level at which the position is classified. These include:
- (1) Environmental knowledges
  - (2) Management knowledges
  - (3) Interpersonal abilities
  - (4) Personal abilities
2. **Managerial Knowledges and Abilities:**
    - a. Most managerial positions have in common requirements for certain basic knowledges and abilities. A listing of these knowledges and abilities has been included below. The purpose of
3. **Environmental Knowledges:**
    - a. External environment of the program:
      - (1) Social, political and economic forces that affect the program
      - (2) Governmental policies, organizations, missions, and operations
      - (3) Public policies relevant to the program
      - (4) Federal administrative processes:
        - (a) Federal personnel system, including labor-management relations and EEO
        - (b) Federal budgeting system
        - (c) Federal contract and procurement system
    - b. Internal organizational environment of the program.
      - (1) Internal organization of the Department of Defense, Air Force and MAJCOM or SOA.
      - (2) Air Force and MAJCOM or SOA goals and operations.
        - (a) Communication and coordination with other members of the Air Force and MAJCOM or SOA management team.
        - (b) Employee and union interests and concerns.
  4. **Management Knowledges:**
    - a. **Program Planning:**
      - (1) Ability to formulate program goals and objectives.
      - (2) Ability to devise efficient and economical organizational structures.
    - b. **Program Implementation:**
      - (1) Ability to make effective decisions and solve problems:
        - (a) Recognizing and analyzing problems.
        - (b) Identifying and selecting from alternative courses of action.
        - (c) Anticipating potential problems and de-



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vising contingency plans.

- (2) Ability to develop and train subordinates.
- (3) Ability to delegate authority.
- (4) Ability to utilize managerial systems and processes:

- (a) Financial management.
- (b) Information management.
- (c) Data processing.
- (d) Personnel and manpower management.

**c. Program Control and Evaluation:**

- (1) Ability to control program activities.
- (2) Ability to evaluate progress toward objectives.
- (3) Ability to develop alternative plans for program improvement.

**5. Interpersonal Abilities:**

- a. Ability to inspire confidence in self and in program.
- b. Ability to work with people of various backgrounds—social, economic, racial, etc.

c. Ability to listen and accept the views of others.

d. Ability to secure understanding and support from higher level management.

e. Ability to communicate with subordinates and deal with their individual and collective representatives.

f. Ability to accept responsibility.

g. Ability to represent the organization to other organizations within the Air Force, Department of Defense, other agencies, the Legislative Branch, and to the public.

**6. Personal Abilities:**

- a. Ability to communicate orally and in writing.
- b. Ability to negotiate.
- c. Analytical ability.
- d. Ability to use own time effectively.
- e. Awareness of own capabilities and limitations.

## GUIDELINES FOR HIGH POTENTIAL IDENTIFICATION

**1. Introduction.** Factors affecting the identification and selection of individuals with high potential for assuming positions of greater responsibility will be based on:

a. A work force assessment of immediate and long-range managerial needs in relation to evolving mission and program goals considering the size of the managerial population, number of anticipated vacancies, organizational growth patterns, and cost.

b. Early identification of potential managerial vacancies so that adequate time is available to permit the selection and development of individuals with high potential for assuming positions of greater responsibility.

**2. Purposes of Identification.** The major purposes of the identification of managerial manpower are:

a. To identify individuals who possess the capabilities for successful performance in top managerial positions.

b. To provide commanders, functional managers, and other top management representatives with accurate and timely summaries of organizational managerial capabilities and needs.

**3. Relationship to Merit Principles.** Systematic identification procedures properly designed as a requisite for thorough management developments:

a. Strengthen the application of merit principles.

b. Ensure equitable consideration of all qualified candidates and selection of those who have the greatest potential for managerial assignments.

c. Provide a mechanism whereby individuals not initially nominated by supervisors as having potential for assuming positions of greater responsibility shall have the opportunity to petition the Executive Development Council for consideration.

**4. Criteria for High Potential Identification.** The Executive Manpower Management Officer (EMMO) is responsible for initiating and managing the high potential manager identification process. During the time of the annual career appraisal process, the EMMO will request appropriate first and second level supervisors to identify and nominate nonmanagers and incumbent managers in grades GS-12, GS-13, GS-14, and GS-15 or equivalent levels, who demonstrate high potential for top managerial positions. In addition, the EMMO will make provision for individual self-nomination.

a. The criteria and process used for identifying and selecting individuals with high potential mid-managers in the Air Force Executive Development Program is compatible with the criteria used for promotion to the next higher grade.

b. Career planning boards and assessment centers where utilized, will apply uniform criteria in identifying and selecting individuals with high potential.

c. Nominating officials will look at the individual from the "whole person" concept by review of the individual's total background and projection of managerial potential—"whole person" concept identification criteria will include the following as appropriate:

(1) Past training and experience.

(2) Supervisory appraisals.

(3) Awards and recognition.

(4) Job related education.

(5) Career broadening assignments.

(6) Career essential assignments.

(7) Supervisory career appraisal discussions results as reflected in individual development plans.

(8) Special courses.

(9) Staff experience.

(10) Supervisory experience.

(11) Managerial knowledges and abilities as indicated in attachment 1.

(12) Managerial knowledges and abilities specific to anticipated vacancies identified in the projection of replacement requirements.

**5. Self-Nomination.** Individuals not initially identified and nominated by their supervisors may petition the Executive Secretary of the Executive Development Council for consideration by the Council as having high potential for assuming positions of greater responsibility. The petition must be in writing by the individual, stating interest, capabilities, and willingness to participate in the program and include in the petition the data requested in paragraph 4c.

**6. Selection of High Potential Candidates:**

a. Supervisors initially identify individuals with high potential for assuming positions of greater responsibility, during the time of the annual career appraisal. The supervisory career appraisal and the resultant individual development plan agreed to jointly by the employee and supervisor must be reviewed and concurred in by the next higher level of management. When concurred in, the employee is then nominated for consideration by the Executive Development Council or designated panel thereof.

b. The Executive Development Council or

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designated panel meets on a periodic basis with the Executive Manpower Management Officer serving as chairperson and performs the following role and functions:

(1) Approve, rank, and select candidates identified as high potential by first and second level supervisors.

(2) Recommend selected high potential managers to the MAJCOM or SOA commander for approval and placement in the MAJCOM or SOA Executive Development Program.

(3) Recommend for consideration by HQ USAF/DPC, selected individuals for significant training and developmental assignments which require approval by HQ USAF.

(4) Monitors on a periodic basis, the identified high potential manager's progress in undergoing career broadening and career essential developmental experiences which assist him or her in acquiring managerial knowledges and abilities necessary for top managerial assignments.

c. The entire identification, nomination and selection process will be repeated annually as a minimum to allow for the consideration and selection of newly identified and nominated high potential manager candidates, and reevaluate those previously identified for continuation in the program.

**7. Notification of High Potential Managers.** The identification of potential is entirely independent of the question of notifying employees as to who has been selected. The Executive Manpower Management Officer (EMMO) will notify all individuals who have been identified and nominated by first and second level supervisors for consideration by the Executive Development Council of the actions taken by the council.

a. Candidates not selected for the program by the Executive Development Council or panel

thereof, shall be counseled and advised of their right to reapply for consideration in the future.

b. Individuals who petition the Executive Development Council in writing for consideration, but are not selected, will be notified by the Council as to the reasons for nonselection.

c. Candidates who are selected for the program will be notified of their selection by the EMMO through their supervisors.

d. The CCPO will code the selected employee's master personnel record to indicate:

(1) Potential for executive development

(2) Individual development plan indicator

(3) Approved training requirements

(4) Proposed career broadening and developmental assignments.

**8. Counseling.** Responsibility for counseling and advising those selected as well as those who applied but not selected will be definitely assigned and publicized.

a. Although the responsibility for counseling individuals rests primarily with the supervisor, the EMMO should inform executives and mid-level managers that members of the civilian personnel office staff or Office of Civilian Personnel Operations, Career Management Division as appropriate, are available to them, as regards counseling on career opportunities, plans and goals.

b. The EMMO should take an active role in providing general information about training and developmental opportunities. This information should be provided to supervisors, mid-level managers, executives and career program managers to assure that program participants receive timely guidance concerning training and developmental opportunities and the scheduling of career broadening and career essential assignments as applicable.

## GUIDELINES FOR INDIVIDUAL DEVELOPMENT PLANNING

**1. Introduction.** The identification of individual training and development needs will be reflected in individual development plans (IDPs) and be the result of:

a. Supervisory/employee career appraisal and discussion during which time the supervisor will explore the needs, aspirations, career goals, and willingness of the employee to engage in developmental activities.

b. Management's candid view as to the individual's future role in the Air Force.

**2. Preparation of Individual Development Plans.** Supervisors will prepare IDPs in writing. The IDP will be geared to the individual's specific needs in relation to the specific knowledges and abilities to be acquired or sharpened to achieve maximum effectiveness. The supervisor in preparing the IDP will:

a. Consider the employee's career interests

b. Review the employee's experience, education, progress, and leadership qualities in relation to those interests to reveal gaps which may affect future performance.

**3. Determining Developmental Objectives.** The supervisor will determine developmental objectives to be achieved. The specific type of development and time frame for completion will be outlined in the IDP agreed to by the employee. The developmental activities should include, on a selective basis as appropriate to individual knowledges and abilities to be acquired or sharpened.

### **4. Meeting Development Requirements:**

a. **On-the-job Methods.** In order to meet development needs with maximum effectiveness and economy, development, insofar as possible, is integrated into the regular operations of the organization. These development methods include:

(1) **Guided Experience.** This method seeks to determine experience gaps and on the basis of this determination, a plan designed to supply this knowledge is instituted. The rationale behind this plan is that "learning by doing" is the most effective development device and that this development can best be achieved by planning and supervising the growth of the individual. The individual works under close supervision and guidance of a superior who is responsible for counseling and planning work projects. The basic utility of this method is that it is inexpensive and serves to develop the supervisor as well as the individual.

(2) **Special Assignments.** This technique is

particularly useful where it is not deemed practical to employ On-The-Job Training or job rotation. With special assignments a potential manager is given complete freedom to handle the problem. It gives management the opportunity to see how well the individual performs in accomplishing the assignment.

(3) **Research Projects.** The use of research projects as a training method is often in conjunction with other development methods such as guided experience, coaching and committee assignments. Research projects may entail individual or group research (sometimes termed the "syndicate system" of research). Research projects are designed to develop resourcefulness in gaining knowledge about the assigned topic, proficiency in analyzing the data secured and ability to interpret and present the results of the research in a logical and meaningful manner.

(4) **Committee Assignments.** This development method is useful in providing the individual with experience in working harmoniously in conjunction with others and exposing the individual to problems outside of the immediate scope of his particular job. Committee assignments may be made for observational purposes, experience in group research, and experience in human relationships. Experience in presenting information in an effective manner, ability to compromise and various other personal attributes may be developed through this method.

(5) **Attendance at Scheduled Staff Meetings.** Schedule participants for regular staff meetings. This provides an opportunity to view top management at work and to develop an appreciation of some of the problems confronting executives.

(6) **Project Reports at Staff Meetings.** This procedure forces the individual to plan, prepare, and present to the staff a formal presentation on one of his or her projects. Critiques and counseling following presentations make significant contributions to the individual's development.

(7) **Coaching.** This method is closely related to guided experience, but is generally classified as a separate method in practice. In coaching, the relationship between supervisor and individual is extremely close and should be characterized by mutual confidence. The individual is given opportunities to perform on the job and is frequently counseled by the superior. In this development method, the employee should be motivated to achieve high standards.

(8) **Counseling.** The purpose of counseling is to aid the individual in solving on-the-job or personal problems which may reflect on employee work performance. Counseling may be given by line or

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staff officials, by outside consultants, or any combinations of these.

(9) Understudying. This method consists of assigning the participant to a superior in order to familiarize the participant with the superior's duties and responsibilities so that in the event the incumbent position becomes vacant, a trained replacement will be available to fill the position. The superior instructs the trainee in the requirements attendant to incumbency in the position and furnishes the trainee with the benefits of his experience.

(10) Acting Assignments. These assignments of a subordinate to a more responsible position are made during periods of absence of the incumbent of that position. Acting assignments may entail some prior work in understudying the position. They may be made across organizational lines or within the organization. Their purpose is to familiarize the participant with the duties of responsible positions.

(11) Job Rotation. This method constitutes a process of varying job assignments in order to expose the participant to a wide variety of different work situations. The job rotation plan may be vertical or horizontal. Vertical rotation consists primarily of progressively difficult and responsible job assignments. Horizontal rotation consists of varied assignments of a generally comparable degree of difficulty and responsibility. The rotation plan may be designed to achieve knowledge of the various major functions of an organization and in this case may be termed inter-functional rotation. Intra-functional rotation is the process of varying the job assignments among the various facets of a major function. In addition to inter and intra-functional rotation and vertical and horizontal rotation; inter-organizational rotation is also a commonly used device in executive or manager development. As the name implies, inter-organizational rotation consists of job assignments in a variety of different organizations which may or may not

be component parts of the organization sponsoring the training.

(12) Exchange of Jobs. This method is similar to job rotation. It can be used particularly when filling an important vacancy. Generally involves lateral exchange of jobs with another individual. Two important objectives must be kept in mind. First, the anticipated vacancy must be filled with a capable candidate and the experience acquired in the exchange of jobs will improve the candidate's eligibility for promotion to the vacancy.

(13) Assignment for Observational Purposes. These assignments may be in the form of field trips, rotation among various organizational functions, or rotation across organizational lines. The purpose of this method is to give the participant a general view of the organization or function concerned in order for him to better understand that function or organization. Through this method, a wide range of activities may be covered by the participant in a relatively short period of time.

(14) Field Trips. This method may be used for purposes of orientation or observation. It serves to acquaint the participant with the responsibilities and personnel of other organizations. An understanding of the problems of communication and delegation of authority between field and headquarters organizations and in general, a better appreciation of the organization as a whole may be gained.

**b. Off-The-Job Methods:**

(1) Formal training is accomplished in on-base or off-base Government facilities or in non-Government facilities.

(2) Attendance at any formal training course is based upon needs identified in Individual Development Plans.

**c. Self-Development Methods.** These include participation in meetings, and conferences of professional organizations, directed reading, independent educational activities, and participation in community and civic affairs.