



THE UNDER SECRETARY OF DEFENSE

3010 DEFENSE PENTAGON  
WASHINGTON, DC 20301-3010

15 DEC 1999

MEMORANDUM FOR: SEE DISTRIBUTION

SUBJECT: Reform Through Learning: USD(A&T) Policy on Continuous Learning for the Defense Acquisition Workforce

Our military and civilian acquisition personnel are clearly the key to the success of our reform and modernization initiatives, and I am strongly committed to providing them with the tools they will need to meet future challenges. As we move to more sophisticated processes and empower acquisition employees to assume greater responsibility, it is imperative that we couple these increased demands on the workforce with the kinds of training, education and professional development that will enable them to assume these new roles. Meeting increased performance expectations in the rapidly changing defense acquisition environment requires workforce members to be current with reforms, adaptable, flexible, and willing to accept risk and exercise leadership.

Accordingly, I am issuing for your immediate implementation the attached Policy on Continuous Learning for the Defense Acquisition Workforce. It is crucial to facilitate the continuing professional growth and development of our workforce while ensuring that acquisition professionals stay current with acquisition reforms, and develop the leadership, disciplinary and functional skills necessary for the future. It adds a new dimension to the Acquisition Career Program by strengthening standards and integrating existing Component development programs into an expanded framework for career-long continuous learning. This policy is issued as a Directive-type memorandum pending reissuance as a DoD publication pursuant to DoD Directive 5025.1.

The policy is effective immediately. Until resources for full implementation become available per Defense Planning Guidance for FY 2000, Components are directed, at a minimum, to assist personnel to plan for continuous learning and to fund participation in learning activities at the level currently supporting the Interim Policy on Continuing Acquisition Education, which the attached policy replaces.

Questions may be directed to my point of contact, Ms. Jeanne Camey, Staff Specialist, Office of Acquisition Education, Training and Career Development, at (703) 602-8703, ([carneyjd@acq.osd.mil](mailto:carneyjd@acq.osd.mil)).

J. S. Ganster

Attachment  
As stated

**REFORM THROUGH LEARNING**

***USD(A&T) Policy on Continuous Learning for  
the Defense Acquisition Workforce***

**Issued by the Under Secretary of Defense (Acquisition and Technology)  
December 15, 1998**

## CONTENTS

|       |  |    |
|-------|--|----|
| I.    | Introduction . . . . .   | 3  |
| II.   | Policy . . . . .   | 4  |
| III.  | Applicability . . . . .  | 4  |
| IV.   | Guidelines for Crediting Continuous Learning Activities . . . . .  | 5  |
| V.    | Continuous Learning Standards . . . . .  | 5  |
|       | A. Functional and Technical Training   |    |
|       | B. Leadership Training   |    |
|       | C. Academic Courses at Institutions of Higher Education  |    |
|       | D. Experiential and Developmental Assignments  |    |
|       | E. Professional Activities   |    |
| VI.   | Enhanced Standards for Civilian and Military Personnel in Leadership Positions . . .                                 | 9  |
| VII.  | Incentives . . . . .   | 9  |
| VIII. | Individual Development Plans . . . . .   | 9  |
| IX.   | Record-Keeping and Certification . . . . .   | 9  |
| X.    | Reporting . . . . .  | 10 |
| XI.   | Responsibilities . . . . .   | 10 |
|       | A. OUSD(A&T) and OUSD(P&R)   |    |
|       | B. DoD Functional Boards   |    |
|       | C. Director, Acquisition Education, Training and Career Development  |    |
|       | D. Defense Acquisition University  |    |
|       | E. Components  |    |
|       | F. Military Services   |    |
|       | G. Defense Contract Audit Agency   |    |
|       | H. Supervisors   |    |
|       | I. Acquisition Personnel   |    |
| XII.  | Effective Date . . . . .   | 13 |
|       | APPENDIX A: Enhanced Standards for Civilian and Military Personnel<br>In Leadership Positions . . . . .              | 14 |
|       | APPENDIX B: Waivers . . . . .  | 18 |
|       | ATTACHMENT 1: Guidelines for Crediting Continuous Learning Activities . . . . .                                      | 20 |
|       | ATTACHMENT 2: Leadership Competencies . . . . .  | 24 |
|       | ATTACHMENT 3: Notional Career Field Guides . . . . .   | 27 |
|       | ATTACHMENT 4: Guidelines for Tuition Reimbursement and Degree Training<br>Programs for Acquisition Workforce Members |    |

## **REFORM THROUGH LEARNING**

### **USD(A&T) Policy on Continuous Learning for the Defense Acquisition Workforce\***

**I. INTRODUCTION:** The civilian and military personnel who support the Defense acquisition system for both new and fielded systems are our most valuable assets. Their efforts contribute to the improved acquisition of the products and services underpinning the warfighting and peacekeeping capabilities of the military services. Their role is central to acquiring the best value goods and services for the Department; hence, it is a wise investment for DoD to support education and training programs that optimize performance and result in improved program execution.

DoD's acquisition specialists, however, are challenged today as never before by the rapidly changing environment in which they must function. The pace of efforts to reform basic acquisition systems, reengineer federal operations, and replace traditional management structures with teams and matrixed organizations, coupled with downsizing and the information technology revolution, has resulted in continuously evolving work environments and requirements. To meet performance expectations in such environments, acquisition personnel must be current with reforms and trends, adaptable, flexible, and willing to learn new skills.

But the revolutions that are currently changing the workplace are also changing the way people learn, and placing increasing expectations on employees to remain current by taking advantage of new ways of learning. Distance learning technologies, experiential learning and other non-traditional approaches to education and training are replacing the traditional classroom student/instructor approach. With these new approaches, what is valued is the ability of learners to take responsibility for and direct their own learning and development in a variety of ways and on a continuous basis throughout their careers.

The foundation for career-long continuous learning was built by the Defense Acquisition Workforce Improvement Act (DAWIA). DAWIA required the Department of Defense to prescribe regulations for the initial structure for a defense acquisition university to include "...A coherent framework for the educational development of personnel in acquisition positions. Such framework shall cover courses of instruction from the basic level through intermediate and senior levels. At the senior level, the framework shall provide for a senior course as a substitute for, and equivalent to, existing senior professional military educational school courses, specifically designed for personnel serving in critical acquisition positions."

The basic construct of the career program for acquisition personnel, including the *minimum* mandatory and desired education, training and experience standards for each acquisition career field, is spelled out in DoD 5000.52-M, *Acquisition Career Development Program*. The policy which follows augments these minimum career program standards and completes the concept underpinning the statutory requirement for an educational framework for the DAWIA workforce. It does this by establishing the continuing education and professional development standards for the DAWIA workforce and defining the types of education, training and experience that meet these standards. It is designed to ensure that acquisition

**\*Definitions related to the acquisition workforce may be found in Title 10, United States Code; DoD Instruction 5000.58, "Defense Acquisition Workforce;" and DoD 5000.52-M, "Acquisition**

professionals not only meet the minimum education, training and experience standards published in DoD 5000.52-M for their career fields, but that they are afforded a full-range of appropriate developmental opportunities including degree and non-degree education and training, and on-the-job learning experiences and developmental assignments. It recognizes and incorporates the education and training activities already supported by the DoD Components\* that supplement the minimum training and education standards established for workforce members in each career field, and integrates these activities into a congruent framework for continuous learning.

**II. POLICY:** It is USD(A&T) policy that civilian and military acquisition professionals will participate in continuous learning activities that augment the minimum education, training, and experience standards established for certification purposes for their career fields and for specific acquisition assignments. Such opportunities for enhanced professional development and continuing education and training should be made available as appropriate during an acquisition professional's career:

- to stay current in technical and functional specialties;
- to become familiar with multiple acquisition career fields;
- to keep abreast of Departmental policies and programs;
- to stay current with the most advanced management principles and practices in the public and private sectors;
- to pursue advanced technical, business and managerial degrees consistent with 10 U.S.C. 1745; and
- in accordance with merit system principles, to prepare for assuming critical military and civilian technical, managerial and leadership positions within the Department of Defense, including those designated as Defense Leadership and Management Program (DLAMP) positions as defined in DoD Directive 1430.16 issued April 11, 1997.

**III. APPLICABILITY:** This policy applies to all civilian and military members of the Department of Defense acquisition workforce, defined in DoD Instruction 5000.58, at all stages of career progression as specified in DoD 5000.52-M. All acquisition personnel shall annually assess their needs for training, education and developmental experiences and jointly with their supervisors prepare an Individual Development Plan (IDP) or other comparable document to

- engage in on-the-job projects, assignments and similar activities to integrate learning experiences with work assignments appropriate for their level of career progression; and
- make progress toward completing certification requirements, *or* if they have satisfied the certification requirements for the positions they encumber, to maintain and enhance their skills by participating in continuous learning activities as described below.

Completion of certification requirements for the position encumbered should take precedence over participation in other continuous learning activities.

**\*The Components include the Office of the Secretary of Defense, the Military Departments, the Chairman of the Joint Chiefs of Staff, the Combatant Commands, the Defense Agencies, the Inspector General of the Department of Defense, and the DoD Field Activities.**

**IV. GUIDELINES FOR CREDITING CONTINUOUS LEARNING ACTIVITIES:** Workforce members who are certified for the positions they encumber will be awarded Continuous Learning Points for participation in approved continuous learning activities. It is not necessary to award points to workforce members who are not yet certified for the positions they hold. The *Guidelines for Crediting Continuous Learning Activities at Attachment 1* recommend the number of points to be awarded to workforce members for successful completion of specific types of training, education, experiential and developmental assignments, and professional activities that satisfy the continuous learning standards. Supervisors and employees will use the *Guidelines* as an aid in establishing the number of points to be credited for specific activities.

**V. CONTINUOUS LEARNING STANDARDS:** Acquisition personnel who have completed the certification requirements for the positions they encumber shall earn a minimum of 80 Continuous Learning Points every two years, from the date of certification for the position encumbered or from the date of the prior two-year continuous learning certification. Acquisition personnel may meet these standards by participating in *Functional and Technical Training, Leadership Training, Academic Courses at Institutions of Higher Education, Experiential and Developmental Assignments, and Professional Activities* as described in paragraphs A through E below. While the specific activities to be undertaken to meet these standards will vary depending on the individual civilian or military officer's career path, certification level, and specific needs for continuing development, emphasis should be placed on continuous learning activities which enable workforce members to stay current pursuant to A. 1. and C. 1. below.

**A. Functional and Technical Training:** Acquisition workforce members may participate in functional and technical training courses, conferences, seminars, and comparable activities sponsored by DoD, its Components and schools, or by private and public organizations, institutions of higher education, and professional associations representative of acquisition career fields for the purpose of:

1. staying current in acquisition functional areas, acquisition reform subjects and other emerging acquisition policy areas;
2. completing mandatory and assignment-specific training required for higher levels of certification in one's career field, through Level III;
3. completing "desired" training in one's career field, through Level III; and
4. participating in cross-training to become familiar with, or certified in, multiple acquisition career fields.

**B. Leadership Training:** Consonant with the premise that managers and leaders are developed over an entire career, Components shall support acquisition workforce members' participation in education, training, and related activities to enable civilian and military workforce members to have early and continuing exposure to leadership skills at appropriate stages of their careers. Where the program is available, and where the individual has been selected for participation, the Defense Leadership and Management Program (DLAMP) shall be used to the maximum extent possible.

1. Training for Civilian members of the workforce should be consistent with Title 5, United States Code, Section 4103(a) which requires agencies to establish and operate training program(s) and plan(s) for civilian employees to improve individual and organizational performance and assist in achieving agency mission and goals.

2. Based on extensive research of government and private sector executives, the Office of Personnel Management (OPM) has identified multiple Leadership Competencies determined to be important for effective performance in Federal supervisory, managerial and executive positions, irrespective of specific functional assignment. Training addressing these competencies is sponsored by a variety of sources, including the OPM, DoD Component training and development offices, professional military education schools, and professional development courses offered by private and public sector training and development institutions and vendors. In addition, many acquisition certification and assignment-specific courses also address one or more of these competencies in the context of DoD acquisition functions and programs.

3. Workforce members expected to perform leadership duties (i.e., team leader, supervisory, managerial, or executive functions) will agree on the competencies needing special emphasis at a given stage of career development and seek out Component and other training programs to supplement and enhance needed development of these competencies. The OPM-approved assessment instrument, the *Leadership Effectiveness Inventory (LEI)* is available to assist in identifying individual needs for developing specific leadership competencies. The LEI, or a comparable instrument which the Component has determined provides an assessment of leadership skill needs equivalent to the LEI, shall be administered to personnel upon acceptance into the Acquisition Corps, as appropriate. The OPM *Leadership Competencies* are at *Attachment 2*.

**C. Academic Courses at Institutions of Higher Education.** Acquisition workforce members may complete academic courses to satisfy the continuous learning standards. The *Guidelines for Tuition Reimbursement and Degree Training Programs for Acquisition Workforce Members*, issued in 1994, are at *Attachment 4*. These *Guidelines* support the purpose of 10 U.S.C. 1745(a) which authorizes, until September 30, 2001, tuition reimbursement for acquisition personnel, including a full-time course of study leading to a degree. Tuition assistance for military officers will be provided in accordance with the military services' policies for such assistance. Individuals may enroll in academic courses of study for the purpose of:

1. staying current in one's basic discipline or technical field;
2. broadening one's disciplinary or functional specialty by pursuing multidisciplinary fields of study;
3. completing an undergraduate degree;
4. meeting statutory academic standards for either the individual's career field or for membership in the Acquisition Corps;
5. meeting academic standards considered "desired" in one's career field;
6. obtaining an advanced degree in a scientific or technical discipline underpinning an acquisition function; and
7. obtaining an advanced degree in a business or management field, e.g., Master of Business Administration, Management of Technology, Public Administration.

Workforce members are encouraged to explore distance-learning opportunities in advanced education.

**D. Experiential and Developmental Assignments:** The ability to learn from experiences and apply the learning to new and increasingly complex situations throughout one's career is a valuable skill that improves with practice. Opportunities to learn from experience may be made available to acquisition workforce members as a normal part of their work assignments, or through rotational or developmental assignments specifically structured to provide a broadening experience. Acquisition personnel may use such assignments to earn points toward meeting the continuous learning standards as agreed between the employee and the supervisor.

1. *On-the-job Experiential Assignments:* At a minimum, annual planning for development should include some opportunity for all civilian and military acquisition personnel at all stages of career progression to engage in challenging, on-the-job assignments that enable them to improve their technical skills, be exposed to new functional skills, or gain experience in managerial and leadership competencies as appropriate. When such assignments are used to satisfy the Continuous Learning Standards, supervisors, together with their employees, will establish their own point values for such assignments consonant with the *Guidelines for Crediting Continuous Learning Activities at Attachment 1*. Individuals are limited to earning a maximum of 40 points in two years by participating in on-the-job experiential assignments.

2. *Intra and Inter-Organizational, Rotational, Broadening, and Developmental Assignments:* While military officers' career paths provide rotations on a regular basis, opportunities for civilians to participate in rotational and developmental assignments are significantly limited. To ensure that all acquisition personnel have opportunities for broadening and developmental experiences, workforce members should engage in at least one developmental assignment designed to provide exposure to a different functional setting or a different branch or division within the same organization at each level of career field progression.\* It is expected that Component intern programs provide such developmental assignments at the entry level. At the senior level, rotation to a different organization for a 3 to 6 month assignment would be the preferred venue for developmental purposes, although it is not mandatory if the individual's developmental needs can be met through an intra-organizational assignment. DLAMP rotational assignments would be appropriate for meeting this requirement. Workforce members shall comply with Component procedures for internal and external rotational, broadening and developmental assignments. Details outside of DoD must comply with DoD Directive 1000.17, "Detail of DoD Personnel to Duty Outside the Department of Defense," and, if such details are to private sector or state and local government organizations, with the Intergovernmental Personnel Act and implementing OPM and DoD regulations. Documentation of these assignments in IDPs, and/or other personnel records, may be required by the Component for extended assignments. Civilian and military workforce members may earn up to 80 points in a two-year period for participating in rotational and developmental assignments.

**\*The three levels of career field progression are typically Level I - GS 5 through 9 and 01 through 03; Level II - GS 9 through 12 and 03 through 04; and Level III - GS 13 through SES and 04 through General and Flag Officer. Progression from Level I through Level III normally spans a 20 to 30 year career. One developmental assignment at each level equates to a total of three in a full career.**

3. *Assuring Learning Outcomes*: When an experience is to be used to earn continuous learning points, (whether the learning outcome is to be attained through an on-the-job experience or through a special rotational or developmental assignment), certain principles should be followed in structuring the experience. Supervisors and employees should pre-define, to the extent practicable, the tasks to be accomplished and expected outcomes of the assignment and the learning opportunities to which the employee will be exposed. The individual should be mentored during the assignment. Accomplishment of a product, such as a briefing, a project design, a report, a service or other work product that shows evidence of the learning attained through the assignment, is desirable. At a minimum, the individual and supervisor/mentor are expected to discuss the learning outcomes at the conclusion of the experience.

**E. Professional Activities**: Acquisition personnel may also participate in a variety of professional activities, including the activities of professional associations related to their functional specialty or discipline, to fulfill continuous learning standards. Participation in professional societies and associations must be in accordance with the Standards of Ethical Conduct for Employees of the Executive Branch, 5 C.F.R. Part 2635, issued by the Office of Government Ethics, and with DoD's implementing regulation, the Joint Ethics Regulation. Consistent with 5 U.S.C. 4109(b), DoD may not reimburse personnel for membership dues paid to professional societies and associations. Among the professional activities that acquisition personnel may engage in are:

- teaching;
- presenting papers at conferences and symposia;
- writing and publishing on topics related to one's expertise;
- consulting with other DoD components, other federal agencies, or state and local government consistent with the Economy Act, 31 U.S.C. 1535 and other applicable laws, regulations and policies; and
- consulting with non-profit organizations, consistent with 5 C.F.R. Part 2635, and DoD's implementing document, the Joint Ethics Regulation.

1. Consulting assignments may be undertaken at the request of a local, state, or federal agency or a non-profit organization for specialized assistance requiring specific expertise: for example, a one-time request to provide episodic, short-term advice to the Federal Emergency Management Agency or the American Red Cross on issues of acquisition logistics for disaster relief. Assignments to consult with other organizations that meet the criteria of Rotational, Broadening and Developmental Assignments described in Section D.2. of this policy must comply with merit system procedures; DoD Directive 1000.17, "Detail of DoD Personnel to Duty Outside the Department of Defense;" the Intergovernmental Personnel Act and 5 C.F.R. Part 334, and related Component procedures for such assignments.

2. In addition, many of the professional associations in which acquisition personnel participate recognize singular achievements, such as patent awards and other demonstrations of professional accomplishment. Because achievements such as passing a professional exam or being granted a patent, license or a professional certification often involve intensive effort or preparation and are evidence in themselves of the individual's currency in his or her field, these achievements may also be credited toward meeting the continuous learning standard.

3. Points that can be credited for participation in professional activities are summarized in the *Guidelines for Crediting Continuous Learning Activities* at *Attachment 1*. Because the Guidelines are limited to providing generic examples of types of activities and recommended points for each, and as such cannot anticipate all possible activities and point values, supervisors and employees will need to use their own discretion in assessing the value of a particular activity for credit purposes. In this regard, supervisors and employees may wish to consult the relevant professional association's own guidelines in order to arrive at an appropriate point value to be granted for a specific activity or contribution.

## **VI. ENHANCED STANDARDS FOR CIVILIAN AND MILITARY PERSONNEL IN LEADERSHIP**

**POSITIONS:** Effective in FY 2002, military and civilian personnel assigned to leadership positions shall be required to meet the enhanced standards for such positions outlined at Appendix A.

**VII. INCENTIVES:** The ability to demonstrate currency in one's technical or functional field is a highly regarded attribute of the most marketable employees regardless of whether they work in the private or public sectors. Notwithstanding the intrinsic value of continuous learning activities to one's own personal development and professional credentials, successful achievement of the standards may also be recognized and appropriately rewarded by the Department.

Components are authorized to use achievement of these standards as one among many evaluation factors to be considered:

- when selecting civilian acquisition employees for advanced development programs such as the DLAMP;
- when selecting civilian acquisition employees for assignments and promotions;
- as a career development feature for military officers which could enhance duty performance and increase potential for greater responsibilities; and
- when appraising those elements of supervisory performance that encompass workforce management and development to ensure that subordinates are given appropriate opportunities to participate in continuous learning activities.

**VIII. INDIVIDUAL DEVELOPMENT PLANS:** Individual Development Plans (IDPs) or other comparable documents will be used to record the workforce member's plans for specific continuous learning activities. Workforce members and their supervisors will use the *Career Field Guides* at *Attachment 3* to design IDPs that detail specific activities to be undertaken to meet the standards, and to address the requirements of current and projected job assignments and the career aspirations of the individual. IDPs should provide a continuum of education, training, and experiential opportunities which build upon one another, with experiential learning opportunities integrated throughout to reinforce the knowledge and skills gained through coursework that is taken at appropriate stages of career progression.

**IX. RECORD-KEEPING AND CERTIFICATION:** It is the responsibility of each workforce member and his/her supervisor to maintain records to verify the individual's attainment of the continuous learning standards. Components will be responsible for certifying acquisition workforce members as having met the continuous learning standards when they earn a minimum of 80 points. Authority for issuing documentation of subordinates' attainment of the continuous learning standards may be delegated to supervisors. Record-keeping shall be consistent with requirements of the Modern Defense Civilian Personnel Data System.

A. Continuous Learning Certifications will be valid for two years from date of issue, during which time the individual is expected to continue to participate in the types of activities outlined in this document in order to maintain his/her Continuous Learning Certification. Understanding that work assignments may occasionally supersede previously planned and approved training or other time-intensive developmental activities, workforce members may be allowed a three-month grace period beyond the end-date established for meeting the standards to earn the 80 points required. Individuals who fail to meet the standards within the allotted time will lose their Continuous Learning Certification until they earn the required points. In exceptional cases, the Component may issue a waiver in accordance with Appendix B.

- B. At a minimum, the employee and supervisor must keep a record of:
1. the types of activities the employee engaged in to meet the continuous learning standards;
  2. the points earned for each activity (See *Guidelines for Crediting Continuous Learning Activities at Attachment 1*); and
  3. the end-date (month and year) by which time the individual must earn 80 points (this date will be modified every two years).

**X. REPORTING:** It is the Components' responsibility in implementing this policy to establish procedures that will ensure workforce compliance, including the development of internal monitoring procedures for verifying workforce members' attainment of the standards. Using compliance information that they collect for their own monitoring purposes, the Components will provide a separate, stand-alone report to the USD(A&T) at the end of each fiscal year on the number of workforce members who were certified as having met the continuous learning standards during that fiscal year. The Components may subsequently request access to the World Wide Web-based prototype system for maintaining records and metrics on workforce members' participation in continuous learning as described in Section XI. C. 2. below, when that system has been funded, developed, tested, and ready for DoD-wide implementation beyond its initial application in designated Components. Reporting shall be consistent with the requirements of the Modern Defense Civilian Personnel Data System.

**XI. RESPONSIBILITIES:**

- A. The *Office of the Under Secretary of Defense (Acquisition and Technology) (OUSD(A&T))* and the *Office of the Under Secretary of Defense (Personnel and Readiness) (OUSD(P&R))* shall collaborate in establishing an oversight mechanism and evaluation criteria for the program.
- B. The *DoD Functional Boards* shall
1. consider continuous learning needs and resources for meeting those needs for their career fields during their annual review of standards, and recommend courses and programs to be pursued for acquisition personnel in their career fields; and
  2. augment their existing career paths to reflect the specific academic disciplines, technical functions, experiential and developmental assignments, and Leadership Competencies to be emphasized in their respective career fields.
- C. The *Director, Acquisition Education, Training and Career Development* shall
1. assess continuing technical, functional and leadership education and training programs and opportunities available from private and public sector educational entities and corporate vendors, and recommend those that address workforce needs, paying

particular attention to degree and accredited non-degree courses available through distance-learning and related information age technologies, consistent with the Defense Reform Initiative;

2. develop, in close coordination with the Office of the Deputy Assistant Secretary of Defense (Civilian Personnel Policy) (ODASD(CPP)) in order to ensure compatibility with the Modern Defense Civilian Personnel System, a comprehensive plan and a prototype for an efficient and economical approach for outsourcing the design and operation of a World Wide Web-based system for maintaining records and metrics on workforce members' participation in continuous learning activities to support Components' and workforce members' needs for assessment, crediting, record-keeping, and reporting that is consistent with requirements of the Clinger-Cohen Act, the Privacy Act, the Computer Matching and Privacy Protection Act, the Paperwork Reduction Act, and current Administration policy for the protection of "Privacy and Personnel Information in

3. monitor Component implementation of this policy and recommend changes, additions and enhancements, including realignment of resources as appropriate, to support requirements;

4. in accordance with Appendix A, *Enhanced Standards for Civilian and Military Personnel in Leadership Positions*, Section V. C., form a working group to develop higher mandatory standards for SES/Flag and General Officer positions, and recommend, in coordination with the Military Services, Joint Staff, and the Industrial College of the Armed Forces (ICAF), equivalencies to the ICAF and related issues; and

5. implement and maintain availability of the Leadership Effectiveness Inventory for Acquisition Corps members.

D. The *Defense Acquisition University (DAU)* shall fund all courses in the DAU curriculum used by acquisition workforce members to satisfy continuous learning standards.

E. The *Components* shall

1. implement this policy, ensure workforce compliance, and support workforce members' attainment of these standards by providing funding for continuous learning activities not provided by the Defense Acquisition University;

2. provide incentives for civilian and military employees to meet the continuous learning standards and recognize their attainment. Such incentives should include:

a. awarding Continuous Learning Certifications;

b. including successful attainment of the standards as one among many factors to be considered in selecting civilian employees for assignments, promotions, and advanced development programs; and

c. including continuous learning as a career development feature for military officers to enhance performance and potential;

3. provide incentives for supervisors to facilitate employee participation in continuous learning activities by making support for employees to attain these standards one element to be considered when appraising those elements of supervisory performance that constitute workforce management and development;

4. beginning with Fiscal Year 1999, annually provide a separate, stand-alone, end of fiscal year report to the USD(A&T) on the number of workforce members who received continuous learning certifications during that fiscal year;

5. offer to administer, or to arrange for the administration of, the Leadership Effectiveness Inventory (LEI), or other instrument equivalent to the LEI, to Corps members as appropriate to ensure that Component programs for their development

address the needs of these key personnel and the requirements of the Component's critical acquisition positions;

6. identify an appropriate share of senior acquisition positions, to be designated as part of the Defense Leadership and Management Program (DLAMP) as defined in DoD Directive 1430.16 issued April 11, 1997, and further ensure that acquisition professionals drawn from all acquisition career fields are fully represented in the DLAMP development program, for purposes of succession planning;
7. recommend to the USD(A&T) programs meeting standards established by the Chairman, Joint Chiefs of Staff, for senior professional military education which the Component proposes to have certified as equivalent to the Senior Acquisition Course at ICAF;
8. identify the percentage of Acquisition Corps members that should participate in ICAF and comparable long-term professional development programs in order to develop a cadre of highly qualified senior managers for critical acquisition positions for purposes of succession planning;
9. establish competitive procedures and select the percentage identified of civilian and military Acquisition Corps members for participation in ICAF and equivalent programs to ensure a sufficient future supply of qualified individuals for senior acquisition leadership positions;
10. identify senior positions for placement of graduates of ICAF and equivalent long-term professional development programs as far in advance as possible prior to their graduation from such programs;
11. establish developmental and career progression opportunities for acquisition professionals;
12. identify, or establish, publicize and compete rotational opportunities including Intergovernmental Personnel Act opportunities, in accordance with merit system principles and the Component's own procedures for managing and documenting such assignments;
13. recommend to the Director, AET&CD changes, additions and enhancements to the USD(A&T)'s Continuous Learning Policy and program including realignment of resources as appropriate; and
14. issue waivers to personnel who are unable to meet the standards as provided for in Appendix B.

F. The *Military Services* shall

1. provide funding support for continuous learning activities of military officers assigned to the Components outside the Military Departments; and
2. certify attainment of continuous learning standards by military officers assigned to the Components outside the Military Departments.

G. The *Defense Contract Audit Agency (DCAA)* shall insure that implementation of this policy for DCAA workforce members is in accordance with continuing education standards established for auditors by the General Accounting Office, and consistent with existing procedures and practices for meeting these standards currently in place in the agency.

H. *Supervisors* shall

1. ensure that the annual Individual Development Plans or comparable documents prepared for their personnel include opportunities for participating in continuous learning activities as appropriate and defined in this policy;

2. ensure, to the extent practicable within organizational, workload and funding constraints, that workforce members are enabled to participate in the activities planned; and
3. determine points to be credited for continuous learning activities and verify workforce members' records so that they can receive credit for fulfilling the continuous learning standards.

I. *Acquisition personnel* shall

1. identify and discuss with supervisors the types of continuous learning activities they wish to pursue, consistent with organizational and funding considerations, during an annual review of the Individual Development Plan or comparable document; and
2. report participation in continuous learning activities, recommend the number of points to be credited, and submit records of completion to their supervisors.

**XII. EFFECTIVE DATE:** This policy is effective immediately, although implementation is intended to proceed in stages. Until funds programmed for full implementation in FY 2000 become available in accordance Defense Planning Guidance (DPG) for FY 2000, the Components are authorized to implement the policy at the levels directed in the Interim Policy on Continuing Acquisition Education and Training issued August 7, 1996.

- FY 1999:
  - Continuous learning standards effective
  - IDPs developed
  - Components initiate planning for full implementation in FY 2000
  - Director, AET&CD develops, tests, implements prototype system for crediting and recording workforce members' participation in continuous learning activities
- FY 2000:
  - Components commence full implementation per FY 2000 DPG
  - Components submit first annual report to USD(A&T) by November 1, 1999 on the number of Continuous Learning Certifications awarded in FY 1999
  - Components identify percentages of military and civilian Corps members requiring advanced development for senior positions\*
  - Components commence competitive selection of candidates for Senior Acquisition Course or equivalent\*
  - SES/Flag/GO Standards Working Group reports to USD(A&T)\*
- FY 2002:
  - Enhanced Standards for Civilian and Military Personnel in Leadership Positions take effect\*
  - ICAF or equivalent desired before assignment to an SES/Flag or General Officer position\*
  - Components implement SES/Flag/GO Working Group Recommendations for higher SES/Flag/GO standards\*

**\*See Appendix A: Enhanced Standards for Civilian and Military Personnel in Leadership Positions.**

## APPENDIX A: ENHANCED STANDARDS FOR CIVILIAN AND MILITARY PERSONNEL IN LEADERSHIP POSITIONS

**I. INTRODUCTION:** As the workforce becomes smaller and more is expected of all members, particularly those encumbering leadership positions at all levels and Critical Acquisition Positions (CAPs) (GS 14 and 0-5 and above as defined by 10 U.S.C. 1733), it is essential that special attention is paid to Defense acquisition personnel who will assume senior managerial and leadership roles. In planning education, training and experiential activities that will meet the needs identified and supplement their early and mid-career development, Components shall support continuous learning opportunities for their acquisition professionals using the following profiles as guides/models. Where the program is available, and where the individual has been selected for participation, the Defense Leadership and Management Program (DLAMP) shall be used to the maximum extent possible.

*(Note: Definitions for Team Leader, Supervisor and Manager appear at the end of Appendix A.)*

**II: NON-CAP TEAM LEADERS AND SUPERVISORS:** While the most senior leadership positions in the acquisition workforce are those designated as CAPs, there are a substantial number of non-CAP team leaders and supervisors throughout the Department who exercise control and authority over workforce members. Effective in FY 2002, Components shall ensure that individuals serving in non-CAP Team Leader and non-CAP Supervisory Acquisition Positions receive appropriate training in leading people and carrying out supervisory responsibilities commensurate with their position assignments. The following standards shall be met:

A. At a minimum, *Non-CAP Team Leaders and Supervisors* shall:

1. be certified in their career fields at the appropriate level for their positions;
2. have participated in continuous learning activities earning a minimum of 80 points over each two-year period following certification for the position encumbered, or have obtained a waiver.

B. In addition:

1. *Non-CAP Team Leaders* shall have appropriate team leader training within 18 months of being assigned to position that meets the definition of team leader, unless the Component establishes a lesser period of time; and
2. *Non-CAP Supervisors* shall have a minimum of 40 hours supervisory training within 18 months of an initial assignment to a position that meets the definition of supervisory, unless the Component establishes a lesser period of time.
3. It is also highly desirable, although not mandatory, for individuals to have at least one informal on-the-job experience leading a project team, a Process Action Team, or other work team before being assigned to a position which meets the definition of team leader or supervisor.

**III. ACQUISITION CORPS MEMBERS:** Upon acceptance into the Acquisition Corps, military and civilian acquisition professionals will be given the opportunity to take the Leadership Effectiveness Inventory (LEI), or other comparable instrument used by the Component, to assess their needs for additional leadership and professional development.

#### **IV. ACQUISITION CORPS MEMBERS ASSIGNED TO CRITICAL ACQUISITION POSITIONS:**

Effective in FY 2002, Components shall ensure that military and civilian Acquisition Corps members assigned to Critical Acquisition Positions (GS 14 and 0-5 and above) meet the following education, training and experience standards:

##### *A. All Personnel assigned to Critical Acquisition Positions:*

1. shall meet all minimum education, training and experience certification standards for their career fields through Level III;
2. shall have participated in continuous learning activities earning a minimum of 80 points over each two-year period following certification for the position encumbered, or have obtained a waiver.

##### *B. Personnel assigned to Team Leader, and First and Second Level Supervisory Critical Acquisition Positions:*

1. shall meet the standards for non-supervisory critical acquisition positions listed in Items A. 1. and 2. above;
2. shall have appropriate team leader training within 18 months of being assigned to a position that meets the definition of team leader, unless the Component establishes a lesser period of time; and
3. shall have a minimum of 40 hours supervisory training within 18 months of an initial assignment to a position that meets the definition of supervisory, unless the Component establishes a lesser period of time.
4. It is also highly desirable, although not mandatory, for individuals to have at least one informal on-the-job experience leading a project team, a Process Action Team, or other work team before being assigned to a position that meets the definition of supervisory.

##### *C. Personnel assigned to Managerial Critical Acquisition Positions:*

1. shall meet the standards for supervisory critical acquisition positions identified in B. 1. and 3. above; and
2. shall have a minimum of 40 hours of managerial training within 18 months of initial assignment to a position that meets the definition of managerial, unless the Component establishes a lesser period of time.
3. It is also highly desirable, although not mandatory, for individuals to have at least one informal, on-the-job experience leading multiple teams or projects at a lower level before being assigned to a management position with responsibility for directing the work of an organizational unit.

##### *D. Personnel assigned to Senior Executive, Flag or General Officer Positions:*

1. shall meet the standards for managerial critical acquisition positions identified in C. 1. and 2. above; and
2. prior to assignment to a Senior Executive, Flag or General Officer position, shall have training, or proven experience in those leadership competencies appropriate at the senior manager level.

#### **V. SENIOR ACQUISITION COURSE AND SENIOR ACQUISITION EDUCATION PROGRAM:**

The Senior Acquisition Course called for by the statute was established in 1992 at the Industrial College of the Armed forces (ICAF) in coordination with the Chairman of the Joint Chiefs of Staff. DoD Directive 5000.57, which establishes the Defense Acquisition University,

provides that the “senior course will be the preeminent course for civilian and military members

A. Beginning in FY 2002 it will be a *Desired Standard* for all military and civilian acquisition professionals to have completed the ICAF Senior Course, or equivalent, before being assigned to a Senior Executive, Flag or General Officer acquisition position.

B. Because capacity in the Senior Course is limited, DoDD 5000.57 also requires the Under Secretary of Defense (Acquisition and Technology) to establish a “Senior Acquisition Education Program for civilian and military acquisition professionals comprised of a variety of offerings equivalent to senior professional military education to cover the broad spectrum of disciplines represented in the acquisition workforce.” Individuals will be credited until FY 2005 with meeting the Desired Standard if,

1. they have completed a masters degree in Business Administration, Management of Technology, Public Administration, or a technical specialty underpinning an acquisition function such as engineering;
2. they can demonstrate to their certifying Components through both training and experience, that they have met the Enhanced Standards for Senior Civilian and Military personnel appropriate for their grade/rank and position; and
3. they have attended a military War College or other comparable program considered by one of the Military Services to be equivalent to a War College program. Flag, General Officer and SES members will also complete a “Capstone” course, or an SES training program such as APEX, the Federal Executive Institute, or a comparable executive development course offered by a private or public institution of higher education.

C. The Director, AET&CD, shall form a working group, to include Component civilian and military acquisition and personnel specialists, and representatives of the Military Services, the Office of the Under Secretary of Defense (Personnel and Readiness), and the Chairman, Joint Chiefs of Staff, to develop higher mandatory standards for SES/FLAG and General Officer positions. In carrying out this task, the group will also formulate a definition of equivalency to the ICAF Senior Acquisition Course, propose courses and programs to be certified as equivalent to the Senior Acquisition Course, and recommend adjustments to ICAF capacity. USD(A&T) will coordinate these recommendations with the Chairman, Joint Chiefs of Staff consistent with the Chairman’s policy on Officer Professional Military Education. While these equivalencies will serve in the future to supplement currently limited opportunities for senior education, the ICAF Senior Acquisition Course shall continue to be considered the preeminent course for acquisition professionals. The working group established to accomplish these tasks shall submit its findings and recommendations to the USD(A&T) by the end of FY 2000.

**VI. SUCCESSION PLANNING:** Consistent with Defense Planning Guidance for FY 2000, the Components shall identify the percentage of Acquisition Corps members required for filling future critical acquisition positions, and establish a competitive process to select the appropriate number of civilian Acquisition Corps members at the GS 14/15 level and military officers at the 05 level for development via ICAF or equivalent programs.

## DEFINITIONS

For the purposes of this policy, the following definitions apply:

1. **Team Leader:** “Team leaders work with team members to achieve specific tasks, produce work products and services and meet program and production goals. Typically a team leader assists the team through knowledge and application of leadership and team building skills and techniques such as group facilitation, coordination, coaching, problem solving, interpersonal communication, integration of work processes and products, obtaining resources and liaison with the supervisor. Team leaders are also accountable for outcomes and results....” (Page 7, *General Schedule Leader Grade Evaluation Guide*, “Part II General Schedule Team Leader Positions,” OPM, April 1998.)
2. **Supervisor:** “For a position to be classified as supervisory ... the requisite supervisory and related managerial responsibilities involve the accomplishment of work through combined technical and administrative direction of others, and must constitute a major duty occupying at least 25% of the supervisor’s time. Supervisory work, at a minimum, includes responsibility for: planning and scheduling work; assigning work to employees; accepting, amending or rejecting completed work; assuring that production and accuracy requirements are met; appraising performance and recommending performance standards and ratings; approving leave; and effecting minor disciplinary measures. Additionally, the duties of a supervisor typically include prioritizing and scheduling work, and finding ways to improve the quality and/or quantity of the work directed.” (Pages 11 and 12, *General Schedule Leader Grade Evaluation Guide*, “Differences Between Team Leaders and Supervisors,” OPM, April 1998.)
3. **First Level and Second Level Supervisors:** “A first level supervisor personally directs subordinates without the use of other, subordinate supervisors. A second level supervisor directs work through one layer of subordinate supervisors.” (Page 9, *General Schedule Supervisory Guide*, “Other Definitions,” OPM, April 1998.)
4. **Manager:** “The authority vested in some positions under the General Schedule which direct the work of an organizational unit, are held accountable for the success of specific line or staff functions, monitor and evaluate the progress of the organization toward meeting goals, and make adjustments in objectives, work plans, schedules, and commitment of resources.” (Page 9, *General Schedule Supervisory Guide*, “Other Definitions,” OPM, April 1998.)

## APPENDIX B: WAIVERS

**I. CONTINUOUS LEARNING STANDARD:** Acquisition personnel who have completed the certification requirements for the positions they encumber are expected to earn a minimum of 80 Continuous Learning Points every two years, from the date of certification for the position encumbered or from the date of the prior two-year continuous learning certification.

**A. Grace Period:** Workforce members will be allowed a three-month grace period beyond the two-year anniversary date established for meeting the continuous learning standards to earn the 80 points required. If the individual has still not met the standard with the addition of the grace period, the Component may issue a waiver.

**B. Authority to Grant Waivers:** Components may not waive the requirement for an acquisition workforce member to earn 80 continuous learning points; Components may only waive the requirement that the points must be earned in 27 months. Components may issue a waiver of the time period in which the workforce member must meet the standard when funding constraints, work assignments, personal hardship or other circumstances beyond the employee's and supervisor's control result in an inability to meet the standards in any twenty-seven-month period. Waiver approval authority shall be no lower than one tier above the individual's supervisor, or at the SES, General or Flag Officer level, whichever is lower.

**C. Waiver Procedures:** The waiver should be issued with a finite expiration date that is based on the number of points which the employee lacks in meeting the standard. For example, if an employee lacks all 80 continuous learning points, the waiver may be for a two year period. If the employee only lacks 40 points of attaining the standard, then the waiver may be issued for one year. Once a waiver is issued, the individual is expected to earn the continuous learning points required in the timeframe established in order to attain or regain his/her Continuous Learning Certification.

**D. Waiver Limitation:** The need to extend the time period covered by the waiver should be extremely rare. Extension of the waiver time period should be done only due to the most exigent work requirements beyond the Component's control, or severe personal hardship.

**II. ENHANCED STANDARDS FOR CIVILIAN AND MILITARY PERSONNEL IN LEADERSHIP POSITIONS:** Effective FY 2002, Components shall ensure that workforce members serving in non-CAP team leader and supervisory positions, in non-supervisory CAP positions, and in CAP supervisory and managerial positions, meet the Enhanced Standards for Civilian and Military Personnel in Leadership Positions consistent with the position to which they are assigned. Besides the applicable continuous learning and certification standards for which waiver processes are addressed elsewhere, incumbents of positions which meet the definitions of "team leader," "supervisor," and "manager" are required to have appropriate training for these duties within 18 months of assignment to the position.

**A. Time Period for Achieving the Standard:** The Standards allow workforce members 18 months to receive the appropriate team leader, supervisory or managerial training appropriate for the position encumbered. If the individual has not met the standard within 18 months, the Component may issue a waiver.

**B. Authority to Grant Waivers:** Components may not waive the requirement for a team leader, supervisor or manager to have the required training. Components may only waive the requirement that the training must be completed in 18 months. Components may issue a waiver of the time period in which the workforce member must meet the standard when funding constraints, work assignments, personal hardship or other circumstances beyond the employee's and supervisor's control result in an inability to meet the standards in an 18-month period. Waiver approval authority shall be no lower than one tier above the individual's supervisor, or at the SES, General or Flag Officer level, whichever is lower.

**C. Waiver Procedures:** The waiver should be issued with a finite expiration date that provides sufficient time for the employee attend the required training.

**D. Waiver Limitation:** The need to extend the time period covered by the waiver should be extremely rare. Extension of the waiver time period should be done only due to the most exigent work requirements beyond the Component's control, or severe personal hardship.

## **GUIDELINES FOR CREDITING CONTINUOUS LEARNING ACTIVITIES ATTACHMENT 1**

**I. ABOUT THE GUIDELINES:** The Guidelines for Crediting Continuous Learning Activities are modeled on the practices of a sample of professional societies representative of the acquisition career fields. Many of these professional societies and associations use a point system to evaluate the qualifications of applicants and certify them as meeting the organization's professional standards for membership. By using a point system, the organization is able to establish a common denominator for crediting and recognizing a variety of disparate activities that members can engage in to maintain their functional or disciplinary proficiency and professionalism. Typical among activities which many professional associations and societies encourage and recognize for membership are participation in training, continuing and advanced education, experience, and professional contributions to the field, such as patents and research papers.

The Guidelines are to be used as an aid by employees and supervisors in arriving at point values for specific continuous learning activities. As it is impossible to develop an all-encompassing list of continuous learning activities and their point values, the Guidelines are intended to provide sufficient examples of creditable activities and a range of point values to assist the supervisor and employee in establishing the points to be awarded in individual circumstances.

**II. APPLYING THE GUIDELINES:** It is expected that supervisors and acquisition personnel will use the Guidelines and their own professional judgment in arriving at points to be awarded for any activity undertaken to meet the Continuous Learning Standards. In cases where the application of the Guidelines may be unclear, supervisors and employees will want to identify an activity addressed in the guidelines that is most like the activity under discussion to arrive at a point value. While supervisors have the authority to establish points for activities that require interpretation and application of the principles underpinning the guidelines, concerns of employees may be addressed through applicable dispute resolution procedures.

All workforce members shall participate in continuous learning. For workforce members who have not yet met certification standards for the positions they encumber, completing their certification training and undertaking on-the-job experiential assignments that enable them to learn new skills, are the appropriate activities. (See the Career Field Guides for examples of activities appropriate for each career level.) Until certified for the positions they encumber, it is not necessary to award and track continuous learning points or issue Continuous Learning Certificates for these workforce members. However, maintaining records and certifying that the 80 point standard has been met are important for individuals who have been certified for the positions they hold.

Moreover, it should be noted that the 80 point standard is a minimum, rather than a maximum, requirement. Because of the desire to ensure that workforce members stay as current as possible, it is highly recommended that individuals who complete the minimum 80 point requirement in the first year of a two-year cycle, engage, in addition, in some moderate continuous learning activity during the second year of the cycle. Activities to stay current, such as attending a satellite broadcast on acquisition reform, or reviewing audio or video tapes or other instructional material, would be appropriate.

**III. CATEGORIES OF CREDITABLE ACTIVITIES:** The four categories of creditable activities are *Training, Education, Experience, and Professional Activities*. The suggested point values for the variety of activities that can be undertaken in each category are presented on the chart that follows.

**A. Training Category:** The Training Category includes *functional, technical and leadership training* taken on-site or by distance learning (described in paragraph 1. below) from private and public higher education institutions, industry, training vendors, professional associations, DoD schools, including military education institutions, and other federal training and education institutions. While academic credit is not typically awarded for training courses, in some cases the organization providing the training may award Continuing Education Units (CEUs) for successful completion of training. (See the discussion which follows in paragraph 2. below for information on converting CEUs to points.) Applicable subject matter is covered under the Continuous Learning Standards, Section V, Paragraphs A and B, of the foregoing USD(A&T) Policy on Continuous Learning for the Defense Acquisition Workforce. Approving officials shall ensure that offerings are certified by a nationally recognized accrediting organization or professional association.

1. *DISTANCE LEARNING:* Training (and education) courses can be taken by a variety of distance learning methods, including satellite downlink, videotape, Intranet and Internet, CD ROM, and written correspondence. Courses that do not provide academic credit or Continuing Education Units for conversion to points per the Guidelines should be assigned credit points by using the standard of one point per 60 minutes of time devoted to the learning activity. If an Internet course, CD ROM or other computer-based course carries a “running time” estimate, then that estimate should be used to determine the points to be awarded (one point per 60 minutes of “running time”).

2. *CONTINUING EDUCATION UNITS:* The International Association for Continuing Education and Training (IACET) defines a Continuing Education Unit (CEU) as “10 contact hours (60-minute hours) of participation in an organized continuing education experience under responsible sponsorship, capable direction and qualified instruction. Instructional hours do not include time involved in coffee breaks, meals, social activities or business and committee meetings.” *CEUs are not measures of academic credit.* The Defense Acquisition University (DAU) is a member of IACET, a non-profit membership organization of over 650 organizations and individuals involved in continuing education and training. As such, DAU is a certified provider of CEUs. The DAU print and on-line catalogs provide a listing of CEUs for each DAU course. CEUs designated in the DAU catalog for each course should be used as the basis for point conversions for crediting successful completion of a DAU offering. Because the IACET standard is one CEU for every 10 hours of instruction, the conversion value is 10 points for each CEU earned, or the equivalent of one point per hour of instruction. For example, DAU has assigned 3.6 CEUs, the equivalent of 36 hours of instruction, to the course, “CON 301 Executive Contracting.” In applying the Guidelines, an individual completing this course would receive 36 points.

**B. Education Category:** The Education Category encompasses *courses taken on-site or by distance-learning from accredited public and private institutions of higher education that award undergraduate or graduate academic credit, degrees, or CEUs* for successful completion of the course. Applicable subject matter is covered under the Continuous Learning Standards, Section V, Paragraph C, of the foregoing USD(A&T) Policy on Continuous Learning for the

Defense Acquisition Workforce. Degrees attained are creditable only in the year they are earned.

**C. Experience Category:** The Experience category includes *on-the-job experiential assignments* and *intra and inter-organizational rotations and developmental experiences*, both within DoD, other federal agencies, and with industry. Such experiences must comply with applicable statutory, regulatory and DoD policies and procedures as outlined in Section V. Paragraph D.2 of the foregoing USD(A&T) Policy on Continuous Learning for the Defense Acquisition Workforce. To insure that on-the-job assignments do not limit participation in other types of learning activities, credit for on-the-job assignments performed at the duty station may only total 40 of the 80 points required in a 2-year period. While supervisors and employees will use their own discretion in arriving at a reasonable point value to be awarded for rotational and developmental assignments, a sliding scale is recommended. For example a 9 to 12 month rotation to another organization may receive the full 80 points; a 6 to 9 month rotation, 60 points; and a 3 to 6 month rotation, 40 points. For a more complete description of experiential and developmental assignments, see the Continuous Learning Standards, Section V, Paragraph D of the USD(A&T) Policy on Continuous Learning for the Defense Acquisition Workforce.

**D. Professional Activities Category:** The Professional Activities Category encompasses activities sponsored by professional societies and associations that enable acquisition professionals to stay current in their functional or technical disciplines or in acquisition reforms, as well as other professional activities unrelated to society participation, such as teaching, lecturing, and speaking at symposia and conferences. Acquisition professionals' participation in professional societies and associations, as well as in activities such as teaching, lecturing, publishing and writing, shall be consistent with the Standards of Ethical Conduct for Employees of the Executive Branch, 5 C.F.R. Part 2635, issued by the Office of Government Ethics. Participation in professional associations is encouraged; however, DoD is unable to reimburse employees for membership expenses per 5 U.S.C. 4109(b). A description of professional activities creditable under the Guidelines is found in the Continuous Learning Standards, Section V, Paragraph E of the USD(A&T) Policy on Continuous Learning for the Defense Acquisition Workforce.

# GUIDELINES FOR CREDITING CONTINUOUS LEARNING ACTIVITIES

## ATTACHMENT 1

| Category                        | Creditable Activities   | Point Credit (See Note 1)                                     |
|---------------------------------|---|---|
| <b>Training:</b>                |   |   |
|                                 | DAU Certification Courses                                       | 10 Per CEU/See DAU Catalog                                    |
|                                 | DAU Continuing Acquisition Training                             | 10 Per CEU/See DAU Catalog                                    |
|                                 | DAU Assignment Specific Courses                                 | 10 Per CEU/See DAU Catalog                                    |
|                                 | Other Continuing Acquisition Training                           | 1 point per 60 minutes instruction                            |
|                                 | Team Training   | 1 point per 60 minutes instruction                            |
|                                 | Mentor Training   | 1 point per 60 minutes instruction                            |
|                                 | Training with Industry (See Note 2)                             | 1 point per 60 minutes instruction                            |
|                                 | Management/Leadership Training                                  | 1 point per 60 minutes instruction                            |
|                                 | Equivalency Exams   | (See Note 3)  |
| <b>Education:</b>               |   |   |
|                                 | Quarter Hour  | 10 Per Quarter Hour   |
|                                 | Semester Hour   | 15 Per Semester Hour  |
|                                 | AA  | 10 (See Note 4)   |
|                                 | BS/BA   | 20 (See Note 4)   |
|                                 | MS/MA   | 30 (See Note 4)   |
|                                 | PhD   | 40 (See Note 4)   |
|                                 | Continuing Education Unit (CEU)                                 | 10 Per CEU  |
|                                 | Equivalency Exams   | (See Note 3)  |
| <b>Experience:</b>              |   |   |
|                                 | On-the-Job Experiential Assignments                             | Maximum 40 points in 2 years                                  |
|                                 | Rotational/Broadening Assignments                               | Maximum 80 points in 2 years                                  |
|                                 | Experience with Industry (See Note 2)                           | Maximum 80 points in 2 years                                  |
|                                 | IPT/Special Project Team Member                                 | Maximum 20 points in 2 years                                  |
|                                 | IPT/Special Project Team Leader                                 | Maximum 20 points in 2 years                                  |
|                                 | Mentor  | Maximum 10 points in 2 years                                  |
| <b>Professional Activities:</b> |   |   |
|                                 | Professional Examination, License or Certificate, e.g., CPA, PE | 10 to 30 points (See Note 5)                                  |
|                                 | Active Association Membership                                   | 5 points  |
|                                 | Teaching/Lecturing (See Note 6)                                 | 2 points for each hour of presentation; maximum 20 in 2 years |
|                                 | Symposia/Conference Presentations (See Note 6)                  | 2 points for each hour of presentation; maximum 20 in 2 years |
|                                 | Workshop/Conference Attendance                                  | 1 point per 60 minutes of content; maximum 8 per day          |
|                                 | Publications:   | (See Notes 6 and 7)   |
|                                 | Texts   | 25 to 40  |
|                                 | Technical Papers, Monographs, etc.                              | 10 to 25  |
|                                 | Consulting (See Note 6)   | 10 to 25  |
|                                 | Patents   | 15 to 40 (See Note 5)   |

**NOTES:**

1. Minimum requirement is 80 points over two years. Documentation and verification are the responsibility of the employee and supervisor.
2. The Intergovernmental Personnel Act and DoD Directive 1000.17, "Detail of DoD Personnel to Duty Outside the Department of Defense," apply.
3. Equivalency exams taken in lieu of completing a DAU training course, or an academic course, may receive the same number of points that would be awarded for actual completion of the course.
4. Points for degrees may be credited in addition to quarter hour or semester-hour points, but only in the year in which the degree is awarded.
5. A professional license or a patent award may be counted only in the year initially received.
6. See Section V. Paragraphs D and E on pages 7 and 8 of this Policy for compliance requirements.
7. Publications may be credited only in the year published.

## LEADERSHIP COMPETENCIES ATTACHMENT 2

Based on extensive research of government and private sector executives, the Office of Personnel Management (OPM) has identified those leadership competencies defining the personal and professional attributes that have been determined to be important for successful performance in the Federal sector.

OPM's designation of the leadership competencies organizes them within the five Executive Core Qualifications (ECQ) required of all members of the Senior Executive Service, and defines them as follows:

**A. ECQ 1 Leading Change:** Encompasses the ability to develop and implement an organizational vision which integrates key national and program goals, priorities, values, and other factors. Inherent to it is the ability to balance change and continuity – to continually strive to improve customer service and program performance within the basic Government framework, to create a work environment that encourages creative thinking, and to maintain focus, intensity and persistence, even under adversity.

### ***Leadership Competencies***

1. **Continual Learning:** Grasps the essence of new information; masters new technical and business knowledge; recognizes own strengths and weaknesses; pursues self-development; seeks feedback from others and opportunities to master new knowledge.
2. **Creativity and Innovation:** Develops new insights into situations and applies innovative solutions to make organizational improvements; creates a work environment that encourages creative thinking and innovation; designs and implements *new* or *cutting-edge* programs/processes.
3. **External Awareness:** Identifies and keeps up to date on key national and international policies and economic, political, and social trends that affect the organization. Understands near-term and long-range plans and determines how best to be positioned to achieve a competitive business advantage in a global economy.
4. **Flexibility:** Is open to change and new information; adapts behavior and work methods in response to new information, changing conditions, or unexpected obstacles. Adjusts rapidly to new situations warranting attention and resolution.
5. **Resilience:** Deals effectively with pressure; maintains focus and intensity and remains optimistic and persistent, even under adversity. Recovers quickly from setbacks. Effectively balances personal life and work.
6. **Service Motivation:** Creates and sustains an organizational culture which encourages others to provide the quality of service essential to high performance. Enables others to acquire the tools and support they need to perform well. Shows a commitment to public service. Influences others toward a spirit of service and meaningful contributions to mission accomplishment.
7. **Strategic Thinking:** Formulates effective strategies consistent with the business and competitive strategy of the organization in a global economy. Examines policy issues and strategic planning with a long-term perspective. Determines objectives and sets priorities; anticipates potential threats or opportunities.
8. **Vision:** Takes a long-term view and acts as a catalyst for organizational change; builds a shared vision with others. Influences others to translate vision into action.

**ECQ 2 Leading People:** Involves the ability to design and implement strategies which maximize employee potential and foster high ethical standards in meeting the organization's vision, mission and goals.

***Leadership Competencies***

1. **Conflict Management:** Identifies and takes steps to prevent potential situations that could result in unpleasant confrontations. Manages and resolves conflicts and disagreements in a positive and constructive manner to minimize negative impact.
2. **Cultural Awareness:** Initiates and manages cultural change within the organization to impact organizational effectiveness. Values cultural diversity and other individual differences in the workforce. Ensures that the organization builds on these differences and that employees are treated in a fair and equitable manner.
3. **Integrity/Honesty:** Instills mutual trust and confidence; creates a culture that fosters high standards of ethics; behaves in a fair and ethical manner toward others, and demonstrates a sense of corporate responsibility and commitment to public service.
4. **Team Building:** Inspires, motivates, and guides others toward goal accomplishments. Consistently develops and sustains cooperative working relationships. Encourages and facilitates cooperation within the organization and with customer groups; fosters commitment, team spirit, pride, trust. Develops leadership in others through coaching, mentoring, rewarding, and guiding employees.

**C. ECQ 3 Results Driven:** Stresses accountability and continuous improvement. It includes the ability to make timely and effective decisions and produce results through strategic planning and the implementation and evaluation of programs and policies.

***Leadership Competencies***

1. **Accountability:** Assures that effective controls are developed and maintained to ensure the integrity of the organization. Holds self and others accountable for rules and responsibilities. Can be relied on to ensure that projects within areas of specific responsibility are completed in a timely manner and within budget. Monitors and evaluates plans; focuses on results and measuring attainment of outcomes.
2. **Customer Service:** Balancing interests of a variety of clients; readily readjusts priorities to respond to pressing and changing client demands. Anticipates and meets the need of clients; achieves quality end-products; is committed to continuous improvement of services.
3. **Decisiveness:** Exercises good judgment by making sound and well-informed decisions; perceives the impact and implications of decisions; makes effective and timely decisions, even when data is limited or solutions produce unpleasant consequences; is proactive and achievement oriented.
4. **Entrepreneurship:** Identifies opportunities to develop and market new products and services within or outside of the organization. Is willing to take risks; initiates actions that involve a deliberate risk to achieve a recognized benefit or advantage.
5. **Problem Solving:** Identifies and analyzes problems; distinguishes between relevant and irrelevant information to make logical decisions; provides solutions to individual and organizational problems.
6. **Technical Credibility:** Understands and appropriately applies procedures, requirements, regulations, and policies related to specialized expertise. Is able to make sound hiring and capital resource decisions to address training and development needs. Understands linkages between administrative competencies and mission needs.

**D. ECQ 4: Business Acumen:** Ability to acquire and administer human, financial, material, and information resources in a manner which instills public trust and accomplishes the organization's mission, and to use new technology to enhance decision making.

**Leadership Competencies**

1. **Financial Management:** Demonstrates broad understanding of principles of financial management and marketing expertise necessary to ensure appropriate funding levels. Prepares, justifies, and/or administers the budget for the program area; uses cost-benefit thinking to set priorities; monitors expenditures in support of programs and policies. Identifies cost-effective approaches. Manages procurement and contracting.
2. **Human Resources Management:** Assesses current and future staffing needs based on organizational goals and budget realities. Using merit principles, ensures staff are appropriately selected, developed, utilized, appraised, and rewarded; takes corrective action.
3. **Technology Management:** Uses efficient and cost-effective approaches to integrate technology into the workplace and improve program effectiveness. Develops strategies using new technology to enhance decision making. Understands the impact of technological changes on the organization.

**E. ECQ 5: Building Coalitions/Communication:** The ability to explain, advocate and express facts and ideas in a convincing manner, and negotiate with individuals and groups internally and externally. It also involves the ability to develop an expansive professional network with other organizations, and to identify the internal and external politics that impact the work of the organization.

**Leadership Competencies**

1. **Influencing/Negotiating:** Persuades others; builds consensus through give and take; gains cooperation from others to obtain information and accomplish goals; facilitates "win-win" situations.
2. **Interpersonal Skills:** Considers and responds appropriately to the needs, feelings and capabilities of different people in different situations; is tactful, compassionate, and sensitive, and treats others with respect.
3. **Oral Communication:** Makes clear and convincing oral presentations to individuals or groups; listens effectively and clarifies information as needed; facilitates an open exchange of ideas and fosters an atmosphere of open communication.
4. **Partnering:** Develops networks and builds alliances, engages in cross-functional activities; collaborates across boundaries, and finds common ground with a widening range of stakeholders. Utilizes contacts to build and strengthen internal support bases.
5. **Political Savvy:** Identifies the internal and external politics that impact the work of the organization. Approaches each problem situation with a clear perception of organizational and political reality; recognizes the impact of alternative courses of action.
6. **Written Communication:** Expresses facts and ideas in writing in a clear, convincing and organized manner.

## **NOTIONAL CAREER FIELD GUIDES ATTACHMENT 3**

The following 10 Notional Career Field Guides have been developed to assist acquisition workforce members in planning for continuous learning activities that enhance and enrich professional growth and development while enabling them to stay current with acquisition reforms.

Each guide summarizes the mandatory and desired education, training and experience standards established by the Under Secretary of Defense (Acquisition and Technology) for workforce members in the respective Acquisition Career Fields. Suggested continuous learning activities that enhance and supplement the mandatory and desired standards are presented for each standard at each level of career field progression, along with leadership competencies recommended for workforce attainment at appropriate stages of career development.

The guides are offered as a framework for personnel to use in systematically planning for and tailoring their IDPs to take advantage of a wide range of education, training and experiential opportunities as appropriate throughout their careers. By using the guides in this way, workforce members can integrate continuous learning opportunities into a comprehensive and personalized road map for career long professional growth.

FY 1999 Notional Development Guide for the *Contracting (including Construction)* Career Field

| Certification Levels   | Level I   |  | Level II                    | Level III   |  |  |   |  |
|--|---|--|-----------------------------|---|--|--|---|--|
| Grade  | GS - 5 to 9 and O-1 to O-3  |  | GS - 9 to 12 and O-3 to O-4 | GS - 13 / O-4   | GS-14 & 15 / O-5 & O-6   | SES & Flag Officer   |   |  |
| Career Category  | Entry Level / Interns   |  | Mid-Level                   | Acquisition Corps*  | Critical Acquisition Positions   |  |   |  |
| Managerial/Leadership Development Goals (LEI or equivalent administered at entry into the Acquisition Corps) | Recommended Leadership Competencies<br>Continual Learning<br>Creativity and Innovation<br>Flexibility<br>Technical Credibility<br>Written Communication |  |                             | Recommended Leadership Competencies<br>Resilience<br>Integrity/Honesty<br>Accountability<br>Interpersonal Skills<br>Influencing/Negotiating | Recommended Leadership Competencies<br>Customer Service<br>Decisiveness<br>Problem Solving<br>Oral Communication | Recommended Leadership Competencies<br>External Awareness<br>Service Motivation<br>Strategic Thinking<br>Political Savvy<br>Partnering | Recommended Leadership Competencies<br>Conflict Management<br>Team Building<br>Financial Management<br>Resources Management | Recommended Leadership Competencies<br>Cultural Awareness<br>Entrepreneurship<br>Technology Management<br>Vision |

| T<br>R<br>A<br>I<br>N<br>I<br>N<br>G | Mandatory Standards | CON 101 and CON 104  | CON 202, 204, 210<br>Assignment specific courses as required   | CON 301 and 333   |  |
|--------------------------------------|---------------------|--|--|---|--|
|                                      | Desired Standards   | None   | None   | 2 Weeks Management and Leadership Training  |  |
|                                      | Enhancements        | <ul style="list-style-type: none"> <li>Level I Cross Training (e.g. Auditing), or</li> <li>Level II Certification Training</li> <li>Training in appropriate leadership competencies</li> </ul> | <ul style="list-style-type: none"> <li>Level I &amp; II Cross Training, or</li> <li>Elective Assignment-Specific Courses - See DAU Catalog</li> <li>Level III Certification Training</li> <li>DoD and Federal Seminars which address appropriate leadership competencies, e.g., DLAMP</li> <li>Team Leader/Supervisory Training</li> </ul> | <ul style="list-style-type: none"> <li>Team Leader Training</li> <li>Supervisors: 40 hours Supervisory Training</li> <li>Managers: 40 hours managerial training</li> <li>Level I, II, III Cross Training</li> <li>Courses &amp; Seminars (government and private) which address appropriate leadership competencies, e.g. DLAMP</li> <li>Federal Executive Institute (FEI)</li> </ul> | <ul style="list-style-type: none"> <li>Govt, Univ, Institute and Prof Assoc courses and seminars which address appropriate leadership competencies</li> <li>SES Courses</li> <li>"Capstone," APEX Courses</li> </ul> |

| E<br>D<br>U<br>C<br>A<br>T<br>I<br>O<br>N | Mandatory Standards | BS/BA or 24 semester hours from: accounting; business finance; law; contracts; purchasing; economics; industrial management; marketing; quantitative methods; organization and management; or pass equivalency exams; or 10 years experience as of Oct 1, 1991 | Same as Level I   | Same as Level I   |   |
|---|---------------------|--|---|---|---|
|   | Desired Standards   | None   | Graduate studies in Business Administration or Procurement  | Masters in Business Administration or Procurement   |   |
|   | Enhancements        | <ul style="list-style-type: none"> <li>Begin 24 Semester Business Hours, or</li> <li>Complete BS/BA, or</li> <li>Begin graduate studies in Business Administration or Procurement</li> </ul>   | <ul style="list-style-type: none"> <li>Complete Business Courses</li> <li>Complete Masters in Business Administration or Procurement</li> <li>Continuing Education courses in related fields</li> <li>Professional certification</li> </ul> | <ul style="list-style-type: none"> <li>Complete Masters</li> <li>Level III education requirements in secondary career field</li> <li>Continuing Education courses in Contracting or related fields; DLAMP courses</li> <li>Education or Training with Industry (EWI / TWI)</li> <li>Intermediate or Senior PME (including SAC)</li> </ul> | <ul style="list-style-type: none"> <li>Fellowships</li> <li>Senior Acquisition Course or equivalent desired FY2002</li> </ul> |

| E<br>X<br>P<br>E<br>R<br>I<br>E<br>N<br>C<br>E | Mandatory Standards | One year in contracting   | Two years in contracting  | Four years in contracting  | 10 years in acquisition, of which 4 must be in a CAP  |
|--|---------------------|---|---|--|---|
|  | Desired Standards   | None  | Two more years in contracting   | Four more years in contracting   | None  |
|  | Enhancements*       | <ul style="list-style-type: none"> <li>OJT and developmental assignments that address appropriate leadership competencies</li> <li>Internships providing exposure to other intra-organizational or functional settings</li> </ul> | <ul style="list-style-type: none"> <li>OJT and developmental assignments that address appropriate leadership competencies</li> <li>One 3-6 month assignment providing exposure to other intra-organizational or functional settings, e.g., DLAMP</li> <li>Be on a team or serve as a team leader</li> </ul> | <ul style="list-style-type: none"> <li>OJT and developmental assignments that address appropriate leadership competencies</li> <li>3-6 month assignment in a different organizational / functional setting, e.g. DLAMP</li> <li>For selected members:                             <ul style="list-style-type: none"> <li>Broadening assignment, secondary career field.</li> <li>Internship with Congress, Institutes, or a FFRDC</li> <li>Broadening assignment, other Federal agencies (e.g., OFPP, Energy)</li> <li>Assignment to manage two or more teams</li> </ul> </li> </ul> | <ul style="list-style-type: none"> <li>SES sabbaticals and special assignments to complete experience in all leadership competencies</li> </ul> |

\*NOTE: Criteria for selection into the Acquisition Corps include: (1) Four years acquisition experience; (2) A baccalaureate degree or certification by an ACPB; and (3a) At least 24 semester hours from among the following disciplines: Accounting, business finance, law, contracts, purchasing, economics, industrial management, marketing, quantitative methods, organization and management; or (3b) At least 24 semester credit hours in the individual's career field and 12 semester hours or equivalent training in the disciplines listed in 3a; or (3c) Pass an equivalency exam (See Appendix M for specific requirements for Acquisition Corps admission. Credit by examination is directed by 10 U.S.C. 1732 and covered in DoD Instruction 5000.58 (references (d) and (g)).

FY 1999 Notional Development Guide for the *Acquisition Logistics* Career Field

| Certification Levels   |                            | Level I   | Level II   | Level III  |  |  |   |
|--|----------------------------|---|--|--|--|--|---|
| Grade  |                            | GS - 5 to 9 and O-1 to O-3  | GS - 9 to 12 and O-2 to O-3  | GS - 13 / O-4  | GS-14 & 15 / O-5 & O-6   | SES & Flag Officer   |   |
| Career Category  |                            | Entry Level / Interns   | Mid-Level  | Acquisition Corps*   | Critical Acquisition Positions   |  |   |
| Managerial/Leadership Development Goals (LEI or equivalent administered at entry into the Acquisition Corps) |                            | Recommended Leadership Competencies   |  | Recommended Leadership Competencies  |  |  |   |
|  |                            | Continual Learning<br>Creativity and Innovation<br>Flexibility<br>Technical Credibility<br>Written Communication  | Resilience<br>Integrity/Honesty<br>Accountability<br>Interpersonal Skills<br>Influencing/Negotiating   | Customer Service<br>Decisiveness<br>Problem Solving<br>Oral Communication  | External Awareness<br>Service Motivation<br>Strategic Thinking<br>Political Savvy<br>Partnering  | Conflict Management<br>Team Building<br>Financial Management<br>Resources Management | Cultural Awareness<br>Entrepreneurship<br>Technology Management<br>Vision |
| <b>T<br/>R<br/>A<br/>I<br/>N<br/>I<br/>N<br/>G</b>   | <b>Mandatory Standards</b> | ACQ 101 and LOG 101   | ACQ 201; LOG 201 and 203; and LOG 204 or 205   | LOG 304  |  |  |   |
|  | <b>Desired Standards</b>   | None  | SYS 201  | None   |  |  |   |
|  | <b>Enhancements</b>        | <ul style="list-style-type: none"> <li>Level I Cross Training (e.g. Prog. Mgmt.), or</li> <li>Level II Certification Training</li> <li>Training in appropriate leadership competencies</li> </ul>                                 | <ul style="list-style-type: none"> <li>Assignment Specific Training</li> <li>Level I &amp; II Cross Training, or</li> <li>Level III Certification Training</li> <li>DoD and Federal Seminars which address appropriate leadership competencies, e.g., DLAMP</li> <li>Team Leader/Supervisory Training</li> </ul> | <ul style="list-style-type: none"> <li>Team Leader Training</li> <li>Supervisors: 40 hours Supervisory Training</li> <li>Managers: 40 hours managerial training</li> <li>Level I, II, III Cross Training</li> <li>Govt/Pvt Leadership Courses &amp; Seminars, e.g., DLAMP</li> <li>Federal Executive Institute (FEI)</li> </ul>  | <ul style="list-style-type: none"> <li>Govt, Univ, Institute and Prof Assoc courses and seminars which address appropriate leadership competencies</li> <li>SES Courses</li> <li>"Capstone," APEX Courses</li> </ul> |  |   |
| <b>E<br/>D<br/>U<br/>C<br/>A<br/>T<br/>I<br/>O<br/>N</b>   | <b>Mandatory Standards</b> | None  | None   | None   |  |  |   |
|  | <b>Desired Standards</b>   | BS/BA in technical, scientific, or managerial field   | Same as Level I  | Masters in technical, scientific, or managerial field  |  |  |   |
|  | <b>Enhancements</b>        | <ul style="list-style-type: none"> <li>Complete BS/BA</li> <li>Begin 12 / 24 Semester Business Hours, or</li> <li>Begin Masters in technical, scientific, or management field</li> </ul>  | <ul style="list-style-type: none"> <li>Complete 12 / 24 semester business hours</li> <li>Continue Masters in technical, scientific, or managerial field</li> <li>Continuing education courses in Acquisition Logistics or related fields</li> <li>Professional certification</li> </ul>                          | <ul style="list-style-type: none"> <li>Complete Masters</li> <li>Level III education requirements in secondary career field</li> <li>Continuing Education courses in Acquisition Logistics or related fields; DLAMP courses</li> <li>Education or Training with Industry (EWI / TWI)</li> <li>Intermediate or Senior PME (including SAC)</li> </ul>  | <ul style="list-style-type: none"> <li>Fellowships</li> <li>Senior Acquisition Course or equivalent desired FY2002</li> </ul>  |  |   |
| <b>E<br/>X<br/>P<br/>E<br/>R<br/>I<br/>E<br/>N<br/>C<br/>E</b>   | <b>Mandatory Standards</b> | One year in acquisition   | Two years in acquisition logistics   | Four years in acquisition logistics  |  | 10 years in acquisition, of which 4 must be in a CAP                                 |   |
|  | <b>Desired Standards</b>   | None  | Two more years in acquisition logistics  | Four more years in acquisition logistics   |  | None   |   |
|  | <b>Enhancements</b>        | <ul style="list-style-type: none"> <li>OJT and developmental assignments that address appropriate leadership competencies</li> <li>Internships providing exposure to other intra-organizational or functional settings</li> </ul> | <ul style="list-style-type: none"> <li>OJT and developmental assignments that address appropriate leadership competencies</li> <li>One 3-6 month assignment providing exposure to other intra-organizational or functional settings, e.g., DLAMP</li> <li>Be on a team or serve as a team leader</li> </ul>      | <ul style="list-style-type: none"> <li>OJT and developmental assignments that address appropriate leadership competencies</li> <li>3-6 month assignment in a different organizational / functional setting, e.g., DLAMP</li> <li>For selected members:                             <ul style="list-style-type: none"> <li>Broadening assignment, secondary career field.</li> <li>Internship with Congress, Institutes, or an FFRDC</li> <li>Broadening assignment, other Federal agencies (e.g., DOT, FAA, NASA)</li> <li>Assignment to manage two or more teams</li> </ul> </li> </ul> | <ul style="list-style-type: none"> <li>SES Sabbaticals and special assignments to complete experience in all leadership competencies</li> </ul>  |  |   |

\*NOTE: Criteria for selection into the Acquisition Corps include: (1) Four years acquisition experience; (2) A baccalaureate degree or certification by an ACPB; and (3a) At least 24 semester hours from among the following disciplines: Accounting, business finance, law, contracts, purchasing, economics, industrial management, marketing, quantitative methods, organization and management; or (3b) At least 24 semester credit hours in the individual's career field and 12 semester hours or equivalent training in the disciplines listed in 3a; or (3c) Pass an equivalency exam (See Appendix M for specific requirements for Acquisition Corps admission. Credit by examination is directed by 10 U.S.C. 1732 and covered in DoD Instruction 5000.58 (references (d) and (g)).

FY 1999 Notional Development Guide for the *Business, Cost Estimating and Financial Management* Career Field

| Certification Levels   | Level I  |  | Level II  | Level III   |   |  |
|--|--|--|---|---|---|--|
| Grade  | GS - 5 to 9 and O-1 to O-3   |  | GS - 9 to 12 and O-3 to O-4   | GS - 13 / O-4   | GS-14 & 15 / O-5 & O-6  | SES & Flag Officer   |
| Career Category  | Entry Level / Interns  |  | Mid-Level   | Acquisition Corps*  | Critical Acquisition Positions  |  |
| Managerial/Leadership Development Goals (LEI or equivalent administered at entry into the Acquisition Corps) | Continual Learning<br>Creativity and Innovation<br>Flexibility<br>Technical Credibility<br>Written Communication |  | Recommended Leadership Competencies<br>Resilience<br>Integrity/Honesty<br>Accountability<br>Interpersonal Skills<br>Influencing/Negotiating | Customer Service<br>Decisiveness<br>Problem Solving<br>Oral Communication | External Awareness<br>Service Motivation<br>Strategic Thinking<br>Political Savvy<br>Partnering | Recommended Leadership Competencies<br>Conflict Management<br>Team Building<br>Financial Management<br>Resources Management<br>Cultural Awareness<br>Entrepreneurship<br>Technology Management<br>Vision |

|  |                            |   |  |  |
|--|----------------------------|---|--|--|
| <b>T<br/>R<br/>A<br/>I<br/>N<br/>I<br/>N<br/>G</b> | <b>Mandatory Standards</b> | • ACQ 101, Complete two of BCF 101, BCF 102, or BCF 103   | • ACQ 201<br>• BCF 205<br>• Complete ONE (not previously taken at Level I): BCF 101 OR BCF 102 OR BCF 103<br>• Complete ONE (related to specific job duties): BCF 203 OR BCF 204 OR BCF 211                | • BCF 301  |
|  | <b>Desired Standards</b>   | None  | None   | None   |
|  | <b>Enhancements</b>        | • Level I Cross Training (e.g. Program Management, Contracting), or<br>• Level II Certification Training<br>• Training in appropriate leadership competencies | • Level I & II Cross Training, or<br>• Level III Certification Training<br>• DoD and Federal Seminars which address appropriate leadership competencies, e.g., DLAMP<br>• Team Leader/Supervisory Training | • Team Leader Training<br>• Supervisors: 40 hours Supervisory Training<br>• Managers: 40 hours managerial training<br>• Level I, II, III Cross Training<br>• Courses and Seminars (government and private) which address appropriate leadership competencies, e.g., DLAMP<br>• Federal Executive Institute (FEI) |

|  |                            |  |   |   |
|--|----------------------------|--|---|---|
| <b>E<br/>D<br/>U<br/>C<br/>A<br/>T<br/>I<br/>O<br/>N</b> | <b>Mandatory Standards</b> | None   | None  | None  |
|  | <b>Desired Standards</b>   | BS/BA  | Same as Level I   | BS/BA with 24 semester hours in accounting, business finance, law, contracts, purchasing, economics, industrial management, marketing, quantitative methods or organization and management; Masters degree  |
|  | <b>Enhancements</b>        | • Begin BS/BA<br>• Begin 12 / 24 Semester Business Hours<br>• Continuing education courses in business, cost estimating and financial management or a related field<br>• Begin Masters | • Complete BS/BA<br>• Complete 12 / 24 Semester Business Hours<br>• Continuing educ courses in related fields<br>• Continue Masters<br>• Professional Certification | • Complete Masters<br>• Level III education requirements in secondary career field<br>• Continuing Ed courses in related fields; DLAMP courses<br>• Education or Training with Industry (EWI / TWI)<br>• Intermediate or Senior PME (including SAC) |

|  |                            |   |   |   |   |
|--|----------------------------|---|---|---|---|
| <b>E<br/>X<br/>P<br/>E<br/>R<br/>I<br/>E<br/>N<br/>C<br/>E</b> | <b>Mandatory Standards</b> | One year of acquisition in business, cost estimating, or financial management   | Two years of acquisition in business, cost estimating, or financial mgmt  | Four of acquisition in business, cost estimating, or financial management   | 10 years in acquisition, of which 4 must be in a CAP  |
|  | <b>Desired Standards</b>   | None  | Two more years in business, cost estimating, or financial management  | Four more of acquisition in business, cost estimating, or financial management  | None  |
|  | <b>Enhancements</b>        | • OJT and developmental assignments that address appropriate leadership competencies<br>• Internships providing exposure to other intra-organizational or functional settings | • OJT and developmental assignments that address appropriate leadership competencies<br>• One 3-6 month assignment providing exposure to other intra-organizational or functional settings, e.g., DLAMP<br>• Be on a team or serve as a team leader | • OJT and developmental assignments that address appropriate leadership competencies<br>• 3-6 month assignment in a different organizational / functional setting, e.g., DoD Comptroller, DLAMP<br>• For selected members:<br>• Broadening assignment, secondary career field.<br>• Internship with Congress, Institutes, or an FFRDC<br>• Broadening assignment, other Federal agencies (e.g., OMB, GAO)<br>• Assignment to manage two or more teams | SES sabbaticals and special assignments to complete experience in all leadership competencies |

\*NOTE: Criteria for selection into the Acquisition Corps include: (1) Four years acquisition experience; (2) A baccalaureate degree or certification by an ACPB; and (3a) At least 24 semester hours from among the following disciplines: Accounting, business finance, law, contracts, purchasing, economics, industrial management, marketing, quantitative methods, organization and management; or (3b) At least 24 semester credit hours in the individual's career field and 12 semester hours or equivalent training in the disciplines listed in 3a; or (3c) Pass an equivalency exam (See Appendix M for specific requirements for Acquisition Corps admission. Credit by examination is directed by 10 U.S.C. 1732 and covered in DoD Instruction 5000.58 (references (d) and (g)).

FY 1999 Notional Development Guide for the *Program Management* Career Field

| Certification Levels   | Level I  | Level II  | Level III   |   |   |   |
|--|--|---|---|---|---|---|
| Grade  | GS - 5 to 9 and O-1 to O-3   | GS - 9 to 12 and O-3 to O-4   | GS - 13 / O-4   | GS-14 & 15 / O-5 & O-6  | SES & Flag Officer  |   |
| Career Category  | Entry Level / Interns  | Mid-Level   | Acquisition Corps*  | Critical Acquisition Positions  |   |   |
| Managerial/Leadership Development Goals (LEI or equivalent administered at entry into the Acquisition Corps) | Continual Learning<br>Creativity and Innovation<br>Flexibility<br>Technical Credibility<br>Written Communication | Recommended Leadership Competencies<br>Resilience<br>Integrity/Honesty<br>Accountability<br>Interpersonal Skills<br>Influencing/Negotiating | Customer Service<br>Decisiveness<br>Problem Solving<br>Oral Communication | External Awareness<br>Service Motivation<br>Strategic Thinking<br>Political Savvy<br>Partnering | Recommended Leadership Competencies<br>Conflict Management<br>Team Building<br>Financial Management<br>Resources Management | Cultural Awareness<br>Entrepreneurship<br>Technology Management<br>Vision |

| T<br>R<br>A<br>I<br>N<br>I<br>N<br>G | Mandatory Standards | ACQ 101  | ACQ 201  | PMT 302; PMT 302 and 303 required for ACAT I & II PM, DPM and PEOs   |  |  |
|--------------------------------------|---------------------|--|--|--|--|--|
|                                      | Desired Standards   | <ul style="list-style-type: none"> <li>ACQ 201</li> <li>One DAU Level 100 course in another acquisition career field</li> </ul>  | <ul style="list-style-type: none"> <li>One DAU Level 200 course in another career field</li> <li>Intermediate level management and leadership training</li> </ul>  | None   |  |  |
|                                      | Enhancements        | <ul style="list-style-type: none"> <li>Level I Cross Training (e.g. SPRD&amp;E), or</li> <li>Level II Certification Training</li> <li>Training in appropriate leadership competencies</li> </ul> | <ul style="list-style-type: none"> <li>Assignment Specific Training</li> <li>Level I &amp; II Cross Training, or</li> <li>Level III Certification Training</li> <li>DoD and Federal Seminars which address appropriate leadership competencies, e.g., DLAMP</li> <li>Team Leader/Supervisory Training</li> </ul> | <ul style="list-style-type: none"> <li>Team Leader Training</li> <li>Supervisors: 40 hours Supervisory Training</li> <li>Managers: 40 hours managerial training</li> <li>Level I, II, III Cross Training</li> <li>Courses and Seminars (government and private) which address appropriate leadership competencies, e.g., DLAMP</li> <li>Federal Executive Institute (FEI)</li> </ul> | <ul style="list-style-type: none"> <li>Govt, Univ, Institute and Prof Assoc courses and seminars which address appropriate leadership competencies</li> <li>SES Courses</li> <li>"Capstone," APEX Courses</li> </ul> |  |

| E<br>D<br>U<br>C<br>A<br>T<br>I<br>O<br>N | Mandatory Standards | None  | None   | None  |   |
|---|---------------------|---|--|---|---|
|   | Desired Standards   | BS/BA, preferably in engineering, systems management or business administration   | Masters preferably in engineering, systems management, business administration, or related field   | <ul style="list-style-type: none"> <li>24 semester hours from: accounting; business finance; law, contracts; purchasing; economics; ind mgmt; marketing; quantitative methods; organization and mgmt OR 24 semester hours in the individual's career field and 12 semester hours in the disciplines listed above</li> <li>Masters in engineering, systems acquisition mgmt, business admin, or related field</li> </ul> |   |
|   | Enhancements        | <ul style="list-style-type: none"> <li>Complete BS/BA, or</li> <li>Begin 12 / 24 Semester Business Hours, or</li> <li>Continuing education courses in program management or a related field, or</li> <li>Begin Masters</li> </ul> | <ul style="list-style-type: none"> <li>Complete Business Courses</li> <li>Continue Masters in above field</li> <li>Continuing Education courses in Program Management or related fields</li> <li>Professional certification</li> </ul> | <ul style="list-style-type: none"> <li>Complete Masters</li> <li>Level III education requirements in secondary career field or related fields; DLAMP courses</li> <li>Education or Training with Industry (EWI / TWI)</li> <li>Intermediate or Senior PME (including SAC)</li> </ul>  | <ul style="list-style-type: none"> <li>Fellowships</li> <li>Senior Acquisition Course or equivalent desired FY2002</li> </ul> |

| E<br>X<br>P<br>E<br>R<br>I<br>E<br>N<br>C<br>E | Mandatory Standards | One year in program management  | Two years in acquisition (one must be in program management)  | 4 in acquisition -- 2 in a program office or similar organization (dedicated matrix support to a PM or PEO, DCMC program integrator, or Supervisor of Shipbuilding)  | 10 years in acquisition, of which 4 must be in a CAP  |
|--|---------------------|---|---|--|---|
|  | Desired Standards   | None  | Two more years in acquisition, preferably in a systems program office or similar organization   | Two more years in acquisition  | None  |
|  | Enhancements        | <ul style="list-style-type: none"> <li>OJT and developmental assignments that address appropriate leadership competencies</li> <li>Internships providing exposure to other intra-organizational or functional settings</li> </ul> | <ul style="list-style-type: none"> <li>OJT and developmental assignments that address appropriate leadership competencies</li> <li>One 3-6 month assignment providing exposure to other intra-organizational or functional settings, e.g., DLAMP</li> <li>Be on a team or serve as a team leader</li> </ul> | <ul style="list-style-type: none"> <li>OJT and developmental assignments that address appropriate leadership competencies</li> <li>3-6 month assignment in different organization/functional setting, e.g., different MILDEP PM Office, DLAMP</li> <li>For selected members:                             <ul style="list-style-type: none"> <li>Broadening assignment, secondary career field.</li> <li>Internship with Congress, Institutes, or an FFRDC</li> <li>Broadening assignment, other Federal agencies (e.g., FAA, DOT, NASA)</li> <li>Assignment to manage two or more teams</li> </ul> </li> </ul> | <ul style="list-style-type: none"> <li>SES Sabbaticals and special assignments to complete experience in all leadership competencies</li> </ul> |

\*NOTE: Criteria for selection into the Acquisition Corps include: (1) Four years acquisition experience; (2) A baccalaureate degree or certification by an ACPB; and (3a) At least 24 semester hours from among the following disciplines: Accounting, business finance, law, contracts, purchasing, economics, industrial management, marketing, quantitative methods, organization and management; or (3b) At least 24 semester credit hours in the individual's career field and 12 semester hours or equivalent training in the disciplines listed in 3a; or (3c) Pass an equivalency exam (See Appendix M for specific requirements for Acquisition Corps admission. Credit by examination is directed by 10 U.S.C. 1732 and covered in DoD Instruction 5000.58 (references (d) and (g)).

FY 1999 Notional Development Guide for the *Manufacturing, Production and Quality Assurance* Career Field

| Certification Levels   | Level I  | Level II  | Level III   |   |   |   |
|--|--|---|---|---|---|---|
| Grade  | GS - 5 to 9 and O-1 to O-3   | GS - 9 to 12 and O-3 to O-4   | GS - 13 / O-4   | GS-14 & 15 / O-5 & O-6  | SES & Flag Officer  |   |
| Career Category  | Entry Level / Interns  | Mid-Level   | Acquisition Corps*  | Critical Acquisition Positions  |   |   |
| Managerial/Leadership Development Goals (LEI or equivalent administered at entry into the Acquisition Corps) | Continual Learning<br>Creativity and Innovation<br>Flexibility<br>Technical Credibility<br>Written Communication | Recommended Leadership Competencies<br>Resilience<br>Integrity/Honesty<br>Accountability<br>Interpersonal Skills<br>Influencing/Negotiating | Customer Service<br>Decisiveness<br>Problem Solving<br>Oral Communication | External Awareness<br>Service Motivation<br>Strategic Thinking<br>Political Savvy<br>Partnering | Recommended Leadership Competencies<br>Conflict Management<br>Team Building<br>Financial Management<br>Resources Management | Cultural Awareness<br>Entrepreneurship<br>Technology Management<br>Vision |

| TRAINING | Mandatory Standards | ACQ 101, PQM 101  | ACQ 201 and PQM 201  | PQM 301  |  |
|----------|---------------------|---|--|--|--|
|          | Desired Standards   | None  | None   | One advanced seminar in current acquisition management issues  |  |
|          | Enhancements        | <ul style="list-style-type: none"> <li>Level I Cross Training (e.g. Test and Evaluation), or</li> <li>Level II Certification Training</li> <li>Training in appropriate leadership competencies</li> </ul> | <ul style="list-style-type: none"> <li>Level I &amp; II Cross Training, or</li> <li>Level III Certification Training</li> <li>Assignment Specific Training</li> <li>DoD and Federal Seminars which address appropriate leadership competencies, e.g., DLAMP</li> <li>Team Leader/Supervisory Training</li> </ul> | <ul style="list-style-type: none"> <li>Team Leader Training</li> <li>Supervisors: 40 hours Supervisory Training</li> <li>Managers: 40 hours managerial training</li> <li>Level I, II, III Cross Training</li> <li>Courses and Seminars (government/private) addressing appropriate leadership competencies, e.g. DLAMP</li> <li>Federal Executive Institute (FEI)</li> </ul> | <ul style="list-style-type: none"> <li>Govt, Univ, Institute and Prof Assoc courses and seminars which address appropriate leadership competencies</li> <li>SES Courses</li> <li>"Capstone," APEX Courses</li> </ul> |

| EDUCATION | Mandatory Standards | None  | None   | None   |   |
|-----------|---------------------|---|--|--|---|
|           | Desired Standards   | None  | <ul style="list-style-type: none"> <li>BS/BA in engineering, chem, physical science, math, stats, manuf or prod mgmt, industrial technology or management, QA, or related field</li> <li>Masters in business, production management, engineering or related field</li> </ul> | Same as Level II education requirements  |   |
|           | Enhancements        | <ul style="list-style-type: none"> <li>Complete BS/BA</li> <li>Begin 12 / 24 Semester Business Hours</li> <li>Cont education courses in MPQA fields</li> <li>Begin Masters</li> </ul> | <ul style="list-style-type: none"> <li>Complete Business Courses</li> <li>Continue Masters in Mgmt or Business</li> <li>Cont Educ courses in MPQA fields</li> <li>Professional certification</li> </ul>  | <ul style="list-style-type: none"> <li>Complete Masters</li> <li>Level III education requirements in secondary career field.</li> <li>Continuing Ed in MP&amp;QA related fields; DLAMP courses</li> <li>Education or Training with Industry (EWI / TWI)</li> <li>Intermediate or Senior PME (including SAC)</li> </ul> | <ul style="list-style-type: none"> <li>Fellowships</li> <li>Senior Acquisition Course or equivalent desired FY2002</li> </ul> |

| EXPERIENCE | Mandatory Standards | One year of acquisition in engineering, manufacturing, production or quality assurance  | Two years of acquisition experience in engineering, manufacturing, production or quality assurance  | Four years of acquisition experience in engineering, manufacturing, production or quality assurance   | 10 years in acquisition, of which 4 must be in a CAP  |
|------------|---------------------|---|---|---|---|
|            | Desired Standards   | Four weeks (cumulative) rotational assignments at a contractor and/or Government industrial facility to include experience in quality, manufacturing, engineering and contracting   | <ul style="list-style-type: none"> <li>Same as Level I (if not compl in Level I)</li> <li>2 additional years in Manufacturing, Production or Quality Assurance</li> </ul>   | Four more in manufacturing, production or quality assurance   | None  |
|            | Enhancements        | <ul style="list-style-type: none"> <li>OJT and developmental assignments that address appropriate leadership competencies</li> <li>Internships providing exposure to other intra-organizational or functional settings</li> </ul> | <ul style="list-style-type: none"> <li>OJT and developmental assignments that address appropriate leadership competencies</li> <li>One 3-6 month assignment providing exposure to other intra-organizational or functional settings, e.g., DLAMP</li> <li>Be on a team or serve as a team leader</li> </ul> | <ul style="list-style-type: none"> <li>OJT and developmental assignments that address appropriate leadership competencies</li> <li>3-6 month assignment in a different organizational or functional setting, e.g., DLAMP</li> <li>For selected members:                             <ul style="list-style-type: none"> <li>Broadening assignment, secondary career field.</li> <li>Internship with Congress, Institutes, or an FFRDC</li> <li>Broadening assignment, other Federal agencies (e.g., OMB, GAO)</li> <li>Assignment to manage two or more teams</li> </ul> </li> </ul> | SES sabbaticals and special assignments to complete experience in all leadership competencies |

\*NOTE: Criteria for selection into the Acquisition Corps include: (1) Four years acquisition experience; (2) A baccalaureate degree or certification by an ACPB; and (3a) At least 24 semester hours from among the following disciplines: Accounting, business finance, law, contracts, purchasing, economics, industrial management, marketing, quantitative methods, organization and management; or (3b) At least 24 semester credit hours in the individual's career field and 12 semester hours or equivalent training in the disciplines listed in 3a; or (3c) Pass an equivalency exam (See Appendix M for specific requirements for Acquisition Corps admission. Credit by examination is directed by 10 U.S.C. 1732 and covered in DoD Instruction 5000.58 (references (d) and (g)).

FY 1999 Notional Development Guide for the *Systems Planning, Research, Development and Engineering* Career Field

| Certification Levels   | Level I   |  | Level II   |  | Level III  |                                |  |  |
|--|---|--|--|--|--|--------------------------------|--|--|
| Grade  | GS-5 to GS-9 and O-1 to O-3   |  | GS-9 to GS-12 and O-3 to O-4   |  | GS - 13 / O-4  | GS-14 & 15 / O-5 & O-6         | SES & Flag Officer   |  |
| Career Category  | Entry Level / Interns   |  | Mid-Level  |  | Acquisition Corps*   | Critical Acquisition Positions |  |  |
| Managerial/Leadership Development Goals (LEI or equivalent administered at entry into the Acquisition Corps) | Recommended Leadership Competencies<br>Continual Learning<br>Creativity and Innovation<br>Flexibility<br>Technical Credibility<br>Written Communication |  | Resilience<br>Integrity/Honesty<br>Accountability<br>Interpersonal Skills<br>Influencing/Negotiating |  | Customer Service<br>Decisiveness<br>Problem Solving<br>Oral Communication            |                                | Recommended Leadership Competencies<br>External Awareness<br>Service Motivation<br>Strategic Thinking<br>Political Savvy<br>Partnering |  |
|  |   |  |  |  | Conflict Management<br>Team Building<br>Financial Management<br>Resources Management |                                | Cultural Awareness<br>Entrepreneurship<br>Technology Management<br>Vision  |  |

| T<br>R<br>A<br>I<br>N<br>I<br>N<br>G | Mandatory Standards | ACQ 101  | ACQ 201 and SYS 201  | SYS 301  |  |
|--------------------------------------|---------------------|--|--|--|--|
|                                      | Desired Standards   | None   | One level 100 or 200 course which is mandatory for acq. log., program mgmt., quality assurance, comm-computer sys., manufacturing and prod., T&E, or SPRDE   | One level 200 or 300 course which is mandatory for acquisition logistics, program management, quality assurance, comm-computer systems, manufacturing and production, Test & Evaluation, or SPRDE  |  |
|                                      | Enhancements        | <ul style="list-style-type: none"> <li>Level I Cross Training (e.g. Prog. Mgmt.) or</li> <li>Level II Certification Training</li> <li>Training in appropriate leadership competencies</li> </ul> | <ul style="list-style-type: none"> <li>Level I &amp; II Cross Training, or</li> <li>Level III Certification Training</li> <li>Assignment Specific Training</li> <li>DoD/Federal Seminars addressing appropriate leadership competencies, e.g. DLAMP</li> <li>Team Leader/Supervisory Training</li> </ul> | <ul style="list-style-type: none"> <li>Team Leader Training</li> <li>Supervisors: 40 hours Supervisory Training</li> <li>Managers: 40 hours managerial training</li> <li>Level I, II, III Cross Training</li> <li>Govt/Pvt Leadership courses &amp; seminars e.g., DLAMP</li> <li>Federal Executive Institute (FEI)</li> </ul> | <ul style="list-style-type: none"> <li>Govt, Univ, Institute and Prof Assoc courses and seminars which address appropriate leadership competencies</li> <li>SES Courses</li> <li>"Capstone," APEX Courses</li> </ul> |

| E<br>D<br>U<br>C<br>A<br>T<br>I<br>O<br>N | Mandatory Standards | BS from an accredited institution in engineering, physics, chemistry, mathematics, or related field; or 10 years of experience as of Oct 1, 1991  | Same as level I  | Same as level I  |   |
|---|---------------------|---|--|--|---|
|   | Desired Standards   | None  | <ul style="list-style-type: none"> <li>Masters from an accredited institution in engineering, physics, chemistry, ops. research, mathematics, management, or related field.</li> <li>Nine semester hours from: accounting, business finance, law, economics, industrial management, quantitative methods, or organization and mgmt; may substitute exams.</li> </ul> | <ul style="list-style-type: none"> <li>Advanced degree as described at level II</li> <li>12 semester hours from: accounting, business finance, law, economics, industrial management, quantitative methods, or organization and management; DANTES or CLEP exams may be substituted.</li> </ul>                      |   |
|   | Enhancements        | <ul style="list-style-type: none"> <li>Begin 12 / 24 Semester Hours in Business</li> <li>Continuing education courses toward Masters in computer sciences or related field.</li> <li>Begin Masters in Engineering, Physics, Chemistry, Operations Research, Mathematics, or Management</li> </ul> | <ul style="list-style-type: none"> <li>Complete Business courses, or</li> <li>Continue Masters in fields above, or</li> <li>Continuing Education courses in technical or scientific fields</li> <li>Professional certification</li> </ul>  | <ul style="list-style-type: none"> <li>Complete Masters</li> <li>Level III education requirements in secondary career field.</li> <li>Continuing Ed courses in related fields; DLAMP courses</li> <li>Education or Training with Industry (EWI / TWI)</li> <li>Intermediate or Senior PME (including SAC)</li> </ul> | <ul style="list-style-type: none"> <li>Fellowships</li> <li>Senior Acquisition Course or equivalent desired FY2002</li> </ul> |

| E<br>X<br>P<br>E<br>R<br>I<br>E<br>N<br>C<br>E | Mandatory Standards | One year of acquisition in science or engineering   | Two years of acquisition in science or engineering  | Four years of acquisition in science or engineering  | 10 Years acquisition experience, of which 4 must be in a CAP                                  |
|--|---------------------|---|---|--|---|
|  | Desired Standards   | None  | Two more years in engineering or science in an acquisition position   | Four more years in acquisition positions   | None  |
|  | Enhancements        | <ul style="list-style-type: none"> <li>OJT and developmental assignments that address appropriate leadership competencies</li> <li>Internships providing exposure to other intra-organizational or functional settings</li> </ul> | <ul style="list-style-type: none"> <li>OJT and developmental assignments that address appropriate leadership competencies</li> <li>One 3-6 month assignment providing exposure to other intra-organizational or functional settings, e.g., DLAMP</li> <li>Be on a team or serve as a team leader</li> </ul> | <ul style="list-style-type: none"> <li>OJT and developmental assignments that address appropriate leadership competencies</li> <li>3-6 month assignment in a different organizational / functional setting, e.g., DLAMP</li> <li>For selected members:                             <ul style="list-style-type: none"> <li>Broadening assignment, secondary career field.</li> <li>Internship with Congress, Institutes, or a FFRDC</li> <li>Broadening assignment in technically oriented Federal agencies (e.g., NASA, Energy, NIST, etc.)</li> <li>Assignment to manage two or more teams</li> </ul> </li> </ul> | SES sabbaticals and special assignments to complete experience in all leadership competencies |

\*NOTE: Criteria for selection into the Acquisition Corps include: (1) Four years acquisition experience; (2) A baccalaureate degree or certification by an ACPB; and (3a) At least 24 semester hours from among the following disciplines: Accounting, business finance, law, contracts, purchasing, economics, industrial management, marketing, quantitative methods, organization and management; or (3b) At least 24 semester credit hours in the individual's career field and 12 semester hours or equivalent training in the disciplines listed in 3a; or (3c) Pass an equivalency exam (See Appendix M for specific requirements for Acquisition Corps admission. Credit by examination is directed by 10 U.S.C. 1732 and covered in DoD Instruction 5000.58 (references (d) and (g)).

FY 1999 Notional Development Guide for the *Test and Evaluation* Career Field

| Certification Levels   | Level I  | Level II  | Level III   |   |   |   |
|--|--|---|---|---|---|---|
| Grade  | GS-5 to GS-9 and O-1 to O-3  | GS-9 to GS-12 and O-3 to O-4  | GS - 13 / O-4   | GS-14 & 15 / O-5 & O-6  | SES & Flag Officer  |   |
| Career Category  | Entry Level / Interns  | Mid-Level   | Acquisition Corps*  | Critical Acquisition Positions  |   |   |
| Managerial/Leadership Development Goals (LEI or equivalent administered at entry into the Acquisition Corps) | Continual Learning<br>Creativity and Innovation<br>Flexibility<br>Technical Credibility<br>Written Communication | Recommended Leadership Competencies<br>Resilience<br>Integrity/Honesty<br>Accountability<br>Interpersonal Skills<br>Influencing/Negotiating | Customer Service<br>Decisiveness<br>Problem Solving<br>Oral Communication | External Awareness<br>Service Motivation<br>Strategic Thinking<br>Political Savvy<br>Partnering | Recommended Leadership Competencies<br>Conflict Management<br>Team Building<br>Financial Management<br>Resources Management | Cultural Awareness<br>Entrepreneurship<br>Technology Management<br>Vision |

| T<br>R<br>A<br>I<br>N<br>I<br>N<br>G | Mandatory Standards | ACQ 101 and TST 101  | ACQ 201 and TST 202   | TST 301  |  |
|--------------------------------------|---------------------|--|---|--|--|
|                                      | Desired Standards   | None   | None  | None   |  |
|                                      | Enhancements        | <ul style="list-style-type: none"> <li>Level I Cross Training (e.g. SPDRE), or,</li> <li>Level II Certification Training</li> <li>Training in appropriate leadership competencies</li> </ul> | <ul style="list-style-type: none"> <li>Level I &amp; II Cross Training, or,</li> <li>Level III Certification Training</li> <li>Assignment Specific training</li> <li>DoD/ Federal Seminars addressing appropriate leadership competencies, e.g., DLAMP</li> <li>Team Leader/Supervisory Training</li> </ul> | <ul style="list-style-type: none"> <li>Team Leader Training</li> <li>Supervisors: 40 hours Supervisory Training</li> <li>Managers: 40 hours managerial training</li> <li>Level I, II, III Cross Training</li> <li>Courses and Seminars (government and private) which address appropriate leadership competencies, e.g., DLAMP</li> <li>Federal Executive Institute (FEI)</li> </ul> | <ul style="list-style-type: none"> <li>Govt, Univ, Institute and Prof Assoc courses and seminars addressing appropriate leadership competencies, e.g., DLAMP</li> <li>SES Courses</li> <li>"Capstone," APEX Courses</li> </ul> |

| E<br>D<br>U<br>C<br>A<br>T<br>I<br>O<br>N | Mandatory Standards | BS/BA, with 24 semester hours in physical science, mathematics, engineering, chemistry, physics, ops research, or related fields; or 10 years of experience as of Oct 1, 1991.                    | Same as level I   | Same as level I   |   |
|---|---------------------|---|---|---|---|
|   | Desired Standards   | None  | <ul style="list-style-type: none"> <li>Masters in physical science, mathematics, engineering, chemistry, physics, ops research, or related field.</li> <li>Two 3 Continuing Education Unit (CEU) technical courses in a T&amp;E specialty</li> <li>Meet Acquisition Corps Education Requirements</li> </ul> | <ul style="list-style-type: none"> <li>12 semester hours from: accounting, bus. finance, law, contracts, purchasing, economics, industrial management, marketing, bus. qualitative methods, or organization and management</li> <li>Masters as described at Level II (Desired)</li> <li>One (additional) 3 Continuing Education Unit (CEU) technical course in a T&amp;E specialty</li> </ul> |   |
|   | Enhancements        | <ul style="list-style-type: none"> <li>Begin 12 Semester Hours in Business</li> <li>Continuing Education in Test and Eval fields</li> <li>Begin Masters in Technical field or Business</li> </ul> | <ul style="list-style-type: none"> <li>Complete Business courses</li> <li>Continue Masters</li> <li>Continuing Education technical courses</li> <li>Professional certification</li> </ul>   | <ul style="list-style-type: none"> <li>Complete Masters</li> <li>Level III education requirements in secondary career field.</li> <li>Continuing Ed courses in related fields; DLAMP courses</li> <li>Education or Training with Industry (EWI / TWI)</li> <li>Intermediate or Senior PME (Including SAC)</li> </ul>  | <ul style="list-style-type: none"> <li>Fellowships</li> <li>Senior Acquisition Course or equivalent desired FY2002</li> </ul> |

| E<br>X<br>P<br>E<br>R<br>I<br>E<br>N<br>C<br>E | Mandatory Standards | One year of acquisition; T&E or technical experience preferred.   | Two years in acquisition - one must be in test and evaluation   | Four years in acquisition - two must be in test and evaluation  | 10 Years acquisition experience, of which 4 must be in a CAP                                  |
|--|---------------------|---|---|---|---|
|  | Desired Standards   | None  | Two more years in acquisition - one must be in test and evaluation  | Four more years in acquisition - two must be in test and evaluation   | None  |
|  | Enhancements        | <ul style="list-style-type: none"> <li>OJT and developmental assignments that address appropriate leadership competencies</li> <li>Internships providing exposure to other intra-organizational or functional settings</li> </ul> | <ul style="list-style-type: none"> <li>OJT and developmental assignments that address appropriate leadership competencies</li> <li>One 3-6 month assignment providing exposure to other intra-organizational or functional settings, e.g., DLAMP</li> <li>Be on a team or serve as a team leader</li> </ul> | <ul style="list-style-type: none"> <li>OJT and developmental assignments that address appropriate leadership competencies</li> <li>3-6 month assignment in a different organizational / functional setting, e.g., DLAMP</li> <li>For selected members:                             <ul style="list-style-type: none"> <li>Broadening assignment, secondary career field.</li> <li>Internship with Congress, Institutes, or an FFRDC</li> <li>Broadening assignment, other technically oriented Federal agencies (e.g., NASA, NIST, etc.)</li> <li>Assignment to manage two or more teams</li> </ul> </li> </ul> | SES sabbaticals and special assignments to complete experience in all leadership competencies |

\*NOTE: Criteria for selection into the Acquisition Corps include: (1) Four years acquisition experience; (2) A baccalaureate degree or certification by an ACPB; and (3a) At least 24 semester hours from among the following disciplines: Accounting, business finance, law, contracts, purchasing, economics, industrial management, marketing, quantitative methods, organization and management; or (3b) At least 24 semester credit hours in the individual's career field and 12 semester hours or equivalent training in the disciplines listed in 3a; or (3c) Pass an equivalency exam (See Appendix M for specific requirements for Acquisition Corps admission. Credit by examination is directed by 10 U.S.C. 1732 and covered in DoD Instruction 5000.58 (references (d) and (g)).

FY 1999 Notional Development Guide for the Auditing Career Field

| Certification Levels   | Level I  |  | Level II  | Level III   |  |   |
|--|--|--|---|---|--|---|
| Grade  | GS-5 to GS-7   |  | GS-9 to GS-12   | GS - 13   | GS - 14 & 15   | SES   |
| Career Category  | Entry Level / Interns  |  | Mid-Level   | Acquisition Corps*  | Critical Acquisition Positions   |   |
| Managerial/Leadership Development Goals (LEI or equivalent administered at entry into the Acquisition Corps) | Recommended Leadership Competencies  |  |   | Recommended Leadership Competencies   |  |   |
|  | Continual Learning<br>Creativity and Innovation<br>Flexibility<br>Technical Credibility<br>Written Communication | Resilience<br>Integrity/Honesty<br>Accountability<br>Interpersonal Skills<br>Influencing/Negotiating | Customer Service<br>Decisiveness<br>Problem Solving<br>Oral Communication | External Awareness<br>Service Motivation<br>Strategic Thinking<br>Political Savvy<br>Partnering | Conflict Management<br>Team Building<br>Financial Management<br>Resources Management | Cultural Awareness<br>Entrepreneurship<br>Technology Management<br>Vision |

| TRAINING | Continuous Learning | Mandatory Standards | AUD 1130   | AUD 1320 or 4120 or 4230  | For Supervisory positions: AUD 8560  |  |  |
|----------|---------------------|---------------------|--|---|--|--|--|
|          |                     | Desired Standards   | AUD 6115   | Any courses among AUD 1430, 1560, 5632, 5650, 5720, 6220, or 6240   |  | AUD 1275, or 4030, or 5640, or CON 301   |  |
|          |                     | Enhancements        | <ul style="list-style-type: none"> <li>Level I Cross Training (e.g. Contracting), or,</li> <li>Level II Certification Training</li> <li>Training in appropriate leadership competencies</li> </ul> | <ul style="list-style-type: none"> <li>Level I &amp; II Cross Training, or,</li> <li>Level III Certification Training</li> <li>DoD and Federal Seminars which address appropriate leadership competencies, e.g., DLAMP</li> <li>Team Leader Supervisory Training</li> </ul> | <ul style="list-style-type: none"> <li>Team Leader Training</li> <li>Supervisors: 40 hours Supervisory Training</li> <li>Managers: 40 hours managerial training</li> <li>Level I, II, III Cross Training</li> <li>Govt/Pvt Leadership Courses, e.g., DLAMP</li> <li>Federal Executive Institute (FEI)</li> </ul> | <ul style="list-style-type: none"> <li>Govt, Univ, Institute and Prof Assoc courses and seminars which address appropriate leadership competencies</li> <li>SES Courses</li> <li>"Capstone," APEX Courses</li> </ul> |  |

| EDUCATION | Continuous Learning | Mandatory Standards | BS/BA in Accounting OR BS/BA in related field with 24 semester hours in Accounting OR 4 years accounting experience OR equivalent combination of accounting experience, college education, and training | <ul style="list-style-type: none"> <li>Same as Level I.</li> <li>For entry as GS - 9, Masters or equivalent or 2 full years of graduate education</li> </ul>                  | Same as Level II education requirements  |   |  |
|-----------|---------------------|---------------------|---|---|--|---|--|
|           |                     | Desired Standards   | None  | <ul style="list-style-type: none"> <li>Begin graduate studies leading to a Masters in a related field</li> <li>Professional certification (CPA, CMA, CIA, or CISA)</li> </ul> | Masters in Accounting, Business Administration, Management or a related field.   |   |  |
|           |                     | Enhancements        | <ul style="list-style-type: none"> <li>Complete BS / BA, or,</li> <li>Complete courses for 24 semester hours in Accounting, or,</li> <li>Begin Masters in Management or Business</li> </ul>             | <ul style="list-style-type: none"> <li>Continue Masters in Management or Business</li> <li>Continuing Education courses in Auditing or related fields</li> </ul>              | <ul style="list-style-type: none"> <li>Complete Masters</li> <li>Level III education requirements in secondary career field.</li> <li>Continuing Ed in Auditing &amp; related fields; DLAMP courses</li> <li>Education or Training with Industry (EWI / TWI)</li> <li>Senior Acquisition Course (SAC)</li> </ul> | <ul style="list-style-type: none"> <li>Fellowships</li> <li>Senior Acquisition Course or equivalent desired FY2002</li> </ul> |  |

| EXPERIENCE | Continuous Learning | Mandatory Standards | Meet OPM Entry Level Qualification Standards for Series, or, BS/BA w/ 24 hours in Accounting  | Auditing experience of increasing complexity and responsibility   | <ul style="list-style-type: none"> <li>Meet Levels 1 &amp; 2 OPM Qualification Standards</li> <li>Supervisory auditors must also meet additional OPM qualifications</li> </ul>   |   |  |
|------------|---------------------|---------------------|---|---|--|---|--|
|            |                     | Desired Standards   | Accounting/Auditing work in industry or public accounting   | Perform increasingly complex audits for normal progression and with increasing independence   | Assignments in a variety of organizational settings  | 10 years in acquisition, 4 of which must be in a CAP  |  |
|            |                     | Enhancements        | <ul style="list-style-type: none"> <li>OJT and developmental assignments that address appropriate leadership competencies</li> <li>Internships providing exposure to other intra-organizational or functional settings</li> </ul> | <ul style="list-style-type: none"> <li>OJT and developmental assignments that address appropriate leadership competencies</li> <li>One 3-6 month assignment providing exposure to other intra-organizational or functional settings, e.g., DLAMP</li> </ul> | <ul style="list-style-type: none"> <li>OJT/developmental assignments that address appropriate leadership competencies</li> <li>3-6 month assignment in different organizational / functional setting, e.g., IG, DLAMP</li> <li>For selected members:                             <ul style="list-style-type: none"> <li>Broadening assignment, secondary career field.</li> <li>Internship with Congress, Institutes, or an FFRDC</li> <li>Broadening assignment, other Federal agencies (e.g., OMB, GAO)</li> <li>Assignment to manage two or more teams</li> </ul> </li> </ul> | SES sabbaticals and special assignments to complete experience in all leadership competencies |  |

\*NOTE 1. Criteria for selection into the Acquisition Corps include: (1) Four years acquisition experience; (2) A baccalaureate degree or certification by an ACPB; and (3a) At least 24 semester hours from among the following disciplines: Accounting, business finance, law, contracts, purchasing, economics, industrial management, marketing, quantitative methods, organization and management; or (3b) At least 24 semester credit hours in the individual's career field and 12 semester hours or equivalent training in the disciplines listed in 3a; or (3c) Pass an equivalency exam (See Appendix M for specific requirements for Acquisition Corps admission. Credit by examination is directed by 10 U.S.C. 1732 and covered in DoD Instruction 5000.58 (references (d) and (g)).

NOTE 2. The US General Accounting Office, in the Government Accounting Standards of 1994, requires auditors responsible for planning, directing, conducting, or reporting on government audits to complete, every two years, at least 80 hours of continuing education and training which contributes to the auditor's professional proficiency. At least 20 hours should be completed in any one year of the 2-year period. Individuals responsible for planning, directing, conducting substantial portions of the field work, or reporting on the government audit should complete at least 24 hours of the 80 hours of continuing education and training subjects directly related to the government environment and to government auditing.

FY 1999 Notional Development Guide for the *Communications-Computer Systems* Career Field

| Certification Levels   | Level I   |  | Level II   |  | Level III   |  |
|--|---|--|--|--|---|--|
| Grade  | GS 5 - 9 and O-1to O-3  |  | GS 9 - 12 and O-3 to O-4   |  | GS - 13 / O-4   | GS-14 & 15 / O-5 & O-6<br>SES & Flag Officer |
| Career Category  | Entry Level / Interns   |  | Mid-Level  |  | Acquisition Corps*  | Critical Acquisition Positions               |
| Managerial/Leadership Development Goals (LEI or equivalent administered at entry into the Acquisition Corps) | Recommended Leadership Competencies<br>Continual Learning<br>Creativity and Innovation<br>Flexibility<br>Technical Credibility<br>Written Communication |  | Resilience<br>Integrity/Honesty<br>Accountability<br>Interpersonal Skills<br>Influencing/Negotiating |  | Recommended Leadership Competencies<br>External Awareness<br>Service Motivation<br>Strategic Thinking<br>Political Savvy<br>Partnering                            |  |
|  |   |  | Customer Service<br>Decisiveness<br>Problem Solving<br>Oral Communication                            |  | Conflict Management<br>Team Building<br>Financial Management<br>Resources Management<br>Cultural Awareness<br>Entrepreneurship<br>Technology Management<br>Vision |  |

|                        |                            |  |  |   |  |
|------------------------|----------------------------|--|--|---|--|
| <b>T R A I N I N G</b> | <b>Mandatory Standards</b> | ACQ 101and IRM 101   | ACQ 201 and IRM 201  | IRM 303   |  |
|                        | <b>Desired Standards</b>   | None   | None   | PMT 302   |  |
|                        | <b>Enhancements</b>        | <ul style="list-style-type: none"> <li>Level I Cross Training (e.g. Prog. Mgmt.) or</li> <li>Level II Certification Training</li> <li>Training in appropriate leadership competencies</li> </ul> | <ul style="list-style-type: none"> <li>Level I &amp; II Cross Training, or</li> <li>Level III Certification Training</li> <li>Assignment Specific Training</li> <li>DoD and Federal Seminars which address appropriate leadership competencies, e.g., DLAMP</li> <li>Team Leader/Supervisory Training</li> </ul> | <ul style="list-style-type: none"> <li>Team Leader Training</li> <li>Supervisors: 40 hours Supervisory Training</li> <li>Managers: 40 hours managerial training</li> <li>Level I, II, III Cross Training</li> <li>Courses &amp; Seminars (government/private) addressing appropriate leadership competencies, e.g., DLAMP</li> <li>Federal Executive Institute (FEI)</li> </ul> | <ul style="list-style-type: none"> <li>Govt, Univ, Institute and Prof Assoc courses and seminars which address appropriate leadership competencies</li> <li>SES Courses</li> <li>"Capstone," APEX Courses</li> </ul> |

|                          |                            |  |  |  |   |
|--------------------------|----------------------------|--|--|--|---|
| <b>E D U C A T I O N</b> | <b>Mandatory Standards</b> | None   | None   | None   |   |
|                          | <b>Desired Standards</b>   | BS/BA, preferably computer science, management of automated information systems, Business Admin., or related field   | Masters preferably in computer science, management of automated information systems, business administration, or related field   | Same as Level II education requirements  |   |
|                          | <b>Enhancements</b>        | <ul style="list-style-type: none"> <li>Complete BS / BA</li> <li>Begin 12 / 24 Business semester hours, or</li> <li>Continuing education courses in computer sciences or a related field, or</li> <li>Begin masters in computer science, management of automated information systems, business admin., or related field</li> </ul> | <ul style="list-style-type: none"> <li>Complete Business courses</li> <li>Continue Masters as noted above</li> <li>Continuing Education courses in above fields</li> <li>Professional certification</li> </ul> | <ul style="list-style-type: none"> <li>Complete Masters</li> <li>Level III education requirements in secondary career field.</li> <li>Continuing Ed courses in related fields; DLAMP courses</li> <li>Education or Training with Industry (EWI / TWI)</li> <li>Intermediate or Senior PME (including SAC)</li> </ul> | <ul style="list-style-type: none"> <li>Fellowships</li> <li>Senior Acquisition Course or equivalent desired FY2002</li> </ul> |

|                            |                            |   |   |  |   |
|----------------------------|----------------------------|---|---|--|---|
| <b>E X P E R I E N C E</b> | <b>Mandatory Standards</b> | One year of acquisition in communications/ computer systems   | Two years in acquisition (one must be in communications/computer systems)   | Four in comm / computer systems acquisition, two must be in a prog. mgmt. office or similar org. (dedicated matrix support to a PM, PEO, DCMC prog. integrator, or Suprv. of Shipbuilding)   | 10 Years acquisition experience, of which 4 must be in a CAP  |
|                            | <b>Desired Standards</b>   | None  | Two more years in communications/ computer systems acquisition, preferably in a program office or similar organization  | Four additional years in communications and / or computer systems acquisition  |   |
|                            | <b>Enhancements</b>        | <ul style="list-style-type: none"> <li>OJT and developmental assignments that address appropriate leadership competencies</li> <li>Internships providing exposure to other intra-organizational or functional settings</li> </ul> | <ul style="list-style-type: none"> <li>OJT and developmental assignments that address appropriate leadership competencies</li> <li>One 3-6 month assignment providing exposure to other intra-organizational or functional settings, e.g., DLAMP</li> <li>Be on a team or serve as a team leader</li> </ul> | <ul style="list-style-type: none"> <li>OJT and developmental assignments that address appropriate leadership competencies</li> <li>3-6 month assignment in a different organizational / functional setting, e.g., DLAMP</li> <li>For selected members:                             <ul style="list-style-type: none"> <li>Broadening assignment, secondary career field.</li> <li>Internship with Congress, Institutes, or a FFRDC</li> <li>Broadening assignment, other Federal agencies (e.g., NASA, FAA)</li> <li>Assignment to manage two or more teams</li> </ul> </li> </ul> | <ul style="list-style-type: none"> <li>SES sabbaticals and special assignments to complete experience in all leadership competencies</li> </ul> |

\*NOTE: Criteria for selection into the Acquisition Corps include: (1) Four years acquisition experience; (2) A baccalaureate degree or certification by an ACPB; and (3a) At least 24 semester hours from among the following disciplines: Accounting, business finance, law, contracts, purchasing, economics, industrial management, marketing, quantitative methods, organization and management; or (3b) At least 24 semester credit hours in the individual's career field and 12 semester hours or equivalent training in the disciplines listed in 3a; or (3c) Pass an equivalency exam (See Appendix M for specific requirements for Acquisition Corps admission. Credit by examination is directed by 10 U.S.C. 1732 and covered in DoD Instruction 5000.58 (references (d) and (g)).

FY 1999 Notional Development Guide for the *Industrial / Contract Property Management* Career Field

| Certification Levels  | Level I  |  | Level II  | Level III   |  |   |
|---|--|--|---|---|--|---|
| Grade   | GS-5 to GS-9 and O-1 to O-3  |  | GS-9 to GS-12 and O-3 to O-4  | GS - 13 / O-4   | GS-14 & 15 / O-5 & O-6   | SES & Flag Officer  |
| Career Category   | Entry Level / Interns  |  | Mid-Level   | Acquisition Corps*  | Critical Acquisition Positions   |   |
| Managerial/Leadership Development Goals<br>(LEI or equivalent administered at entry into the Acquisition Corps) | Recommended Leadership Competencies  |  |   | Recommended Leadership Competencies   |  |   |
|   | Continual Learning<br>Creativity and Innovation<br>Flexibility<br>Technical Credibility<br>Written Communication | Resilience<br>Integrity/Honesty<br>Accountability<br>Interpersonal Skills<br>Influencing/Negotiating | Customer Service<br>Decisiveness<br>Problem Solving<br>Oral Communication | External Awareness<br>Service Motivation<br>Strategic Thinking<br>Political Savvy<br>Partnering | Conflict Management<br>Team Building<br>Financial Management<br>Resources Management | Cultural Awareness<br>Entrepreneurship<br>Technology Management<br>Vision |

|  |                            |   |   |  |  |
|--|----------------------------|---|---|--|--|
| <b>T<br/>R<br/>A<br/>I<br/>N<br/>I<br/>N<br/>G</b> | <b>Mandatory Standards</b> | IND 101, IND 102, IND 103<br>CON 101  | IND 201, IND 202, CON 210, CON 202  | IND 202, CON 301 and CON 333   |  |
|  | <b>Desired Standards</b>   | None  |   | None   |  |
|  | <b>Enhancements</b>        | <ul style="list-style-type: none"> <li>Level I Cross Training (e.g. Contracting) or</li> <li>Level II Certification Training</li> <li>Training in appropriate leadership</li> </ul> | <ul style="list-style-type: none"> <li>Level I &amp; II Cross Training, or,</li> <li>Level III Certification Training</li> <li>Assignment Specific Training</li> <li>DoD/Federal Seminars addressing appropriate leadership competencies, e.g. DLAMP</li> <li>Team Leader/Supervisory Training</li> </ul> | <ul style="list-style-type: none"> <li>Team Leader Training</li> <li>Supervisors: 40 hours Supervisory Training</li> <li>Managers: 40 hours managerial training</li> <li>Level I, II, III Cross Training</li> <li>Courses &amp; Seminars (government / private) addressing appropriate leadership competencies. e.g., DLAMP</li> </ul> | <ul style="list-style-type: none"> <li>Govt, Univ, Institute and Prof Assoc courses and seminars which address appropriate leadership competencies</li> <li>SES Courses</li> <li>"Capstone," APEX Courses</li> </ul> |

|  |                            |  |   |  |   |
|--|----------------------------|--|---|--|---|
| <b>E<br/>D<br/>U<br/>C<br/>A<br/>T<br/>I<br/>O<br/>N</b> | <b>Mandatory Standards</b> | None   |   | None   |   |
|  | <b>Desired Standards</b>   | BS/BA, or 24 semester hours from: accounting, business, finance, law, contracts, purchasing, economics, industrial management, marketing, quantitative methods and organization & management               | Same as Level I   | BS / BA and 24 semester hours from subjects listed at Level I  |   |
|  | <b>Enhancements</b>        | <ul style="list-style-type: none"> <li>Begin 24 semester hours in Business, or,</li> <li>Begin BS / BA</li> <li>Continuing education in business, or property management</li> <li>Begin Masters</li> </ul> | <ul style="list-style-type: none"> <li>Complete Business courses, or,</li> <li>Complete BS / BA, or</li> <li>Continue Masters in Management or Business</li> <li>Continuing Education courses in Business, property management or related fields</li> <li>Professional certification</li> </ul> | <ul style="list-style-type: none"> <li>Complete Masters</li> <li>Level III education requirements in secondary career field.</li> <li>Continuing Ed courses in related fields; DLAMP courses</li> <li>Education or Training with Industry (EWI / TWI)</li> <li>Intermediate or Senior PME (including SAC)</li> </ul> | <ul style="list-style-type: none"> <li>Fellowships</li> <li>Senior Acquisition Course or equivalent desired FY2002</li> </ul> |

|  |                            |   |   |   |   |
|--|----------------------------|---|---|---|---|
| <b>E<br/>X<br/>P<br/>E<br/>R<br/>I<br/>E<br/>N<br/>C<br/>E</b> | <b>Mandatory Standards</b> | One year in acquisition   | Two years in Industrial Property Management acquisition position  | Four years experience in Industrial Property Management acquisition positions   | 10 years in acquisition, 4 of which must be in a CAP  |
|  | <b>Desired Standards</b>   | None  |   | Two more years in Industrial Property Management acquisition position   | Four additional years experience in Industrial Property Management acquisition positions  |
|  | <b>Enhancements</b>        | <ul style="list-style-type: none"> <li>OJT and developmental assignments that address appropriate leadership competencies</li> <li>Internships providing exposure to other intra-organizational or functional settings</li> </ul> | <ul style="list-style-type: none"> <li>OJT and developmental assignments that address appropriate leadership competencies</li> <li>One 3-6 month assignment providing exposure to other intra-organizational or functional settings, e.g., DLAMP</li> <li>Be on a team or serve as a team leader</li> </ul> | <ul style="list-style-type: none"> <li>OJT and developmental assignments that address appropriate leadership competencies</li> <li>3-6 month assignment in a different organizational / functional setting, e.g., DLAMP</li> <li>For selected members:                             <ul style="list-style-type: none"> <li>Broadening assignment, secondary career field.</li> <li>Internship with Congress, Institutes, or a FFRDC</li> <li>Broadening assignment, other Federal agencies (e.g., Dept. of Energy or GSA)</li> <li>Assignment to manage two or more teams</li> </ul> </li> </ul> | <ul style="list-style-type: none"> <li>SES Sabbaticals and special assignments to complete experience in all leadership competencies</li> </ul> |

\*NOTE: Criteria for selection into the Acquisition Corps include: (1) Four years acquisition experience; (2) A baccalaureate degree or certification by an ACPB; and (3a) At least 24 semester hours from among the following disciplines: Accounting, business finance, law, contracts, purchasing, economics, industrial management, marketing, quantitative methods, organization and management; or (3b) At least 24 semester credit hours in the individual's career field and 12 semester hours or equivalent training in the disciplines listed in 3a; or (3c) Pass an equivalency exam (See Appendix M for specific requirements for Acquisition Corps admission. Credit by examination is directed by 10 U.S.C. 1732 and covered in DoD Instruction 5000.58 (references (d) and (g)).



ATTACHMENT 4  
OFFICE OF THE UNDER SECRETARY OF DEFENSE

3000 DEFENSE PENTAGON  
WASHINGTON DC 20301-3000

10 JAN 1994



MEMORANDUM FOR       DIRECTOR, ACQUISITION CAREER MANAGEMENT, OASA(RO&A)  
                          DIRECTOR, ACQUISITION CAREER MANAGEMENT, OASN(RD&A)  
                          ASSOCIATE DIRECTOR, ACQUISITION CAREER MANAGEMENT,  
                          OASAF(A)  
                          DIRECTOR, ACQUISITION CAREER MANAGEMENT, OUSD(A)

SUBJECT:       Guidelines for Tuition Reimbursement and Degree Training  
                  Programs for Acquisition Workforce Members

The attached Guidelines clarify Department of Defense policy for implementing 10 U.S.C. 1745(a) authorizing "tuition reimbursement and training (including a full-time course of study leading to a degree)" for members of the acquisition workforce. These Guidelines provide a uniform framework for Component implementation of tuition reimbursement and degree training programs.

I would like the Director, Staffing and Career Development, OASD(P&R) to ensure that all civilian personnel offices and training organizations are aware of the attached Guidelines. Likewise, I would like the Directors, Acquisition Career Management (DACMs), to inform acquisition organizations and workforce members of our policies regarding tuition reimbursement and degree training. In addition, the DACMs are asked to collaborate in a review of their existing program guidance to establish consistency with the attached guidelines and to ensure that members of the acquisition workforce throughout the Department have substantially the same terms and opportunities for participation.

Please coordinate your program descriptions, regulations, and announcements with the Director, Acquisition Education, Training and Career Development, prior to announcing next year's programs.

Colleen A. Preston  
Deputy Under Secretary of Defense  
(Acquisition Reform)

Attachments:

1. Guidelines for Tuition Reimbursement and Degree Training Programs for Acquisition Workforce Members
2. 5 CFR 410.511
3. Department of Defense Academic Degree Training Policy

cc:

Director, Staffing and Career Development, OASD(P&R)

## GUIDELINES FOR TUITION REIMBURSEMENT AND DEGREE TRAINING

### PROGRAMS FOR ACQUISITION WORKFORCE MEMBERS

#### BACKGROUND

The Defense Acquisition Workforce Improvement Act (DAWIA), was enacted as Title XII of Pub. L. 101-510, the "National Defense Authorization Act for Fiscal Year 1991," November 5, 1990. The DAWIA required the Secretary of Defense to establish education, training and experience standards for acquisition personnel, which was done in DOD Manual 5000.52M, "Career Development Program for Acquisition Personnel."

To assist acquisition employees to meet standards calling for higher education, the DAWIA directed the Secretary of Defense to provide for tuition reimbursement (10 U.S.C. 1745(a)). Identifying by law acquisition positions to be a shortage category until the year 2001, DAWIA amended 5 U.S.C. 4107, pursuant to which the Office of Personnel Management issued final rules on May 7, 1992, amending 5 CFR Part 410, attached.

Each Military Department and the other DoD Components have established acquisition workforce tuition assistance programs under the authority delegated by DOD Directive 5000.52, "Defense Acquisition Education, Training, and Career Development Program, October 25, 1991. DoD Components' implementing procedures should be as uniform as practical and fully support the intent of DAWIA to professionalize the acquisition workforce.

#### DOD ACQUISITION WORKFORCE TUITION ASSISTANCE PROGRAMS

It is DOD policy to provide tuition reimbursement for courses or degrees required by law or policy to recruit, develop, or retain DOD employees in acquisition positions, subject to the availability of funds and, as applicable, competitive procedures. In managing their programs, the Components and management officials shall comply with 5 CFR 410.511 and the memorandum titled "Department of Defense Academic Degree Training Policy" issued October 29, 1993, by the Principal Director (Civilian Personnel Policy/Equal Opportunity) Office of the Assistant Secretary of Defense (Personnel and Readiness). Both documents are attached.

#### TYPES OF COURSES AND DEGREES

1. Mandatory: DAWIA directly establishes the following educational standards for acquisition workforce members:  
(a) completion of 24 semester credit hours in Specified disciplines (10 U.S.C. 1724(a)(3)(B) and 10 U.S.C. 1722(b)(2)(B)(I)), or 24 semester credit hours in one's career field and 12 hours in specified disciplines (10 U.S.C. 1732(b)(2)(B)(ii)), and (b) attainment of the baccalaureate degree (10 U.S.C. 1724(a)(2)(A) and 1732(b)(2)(A)(I)).

a. Completion of 24 semester credit hours in specified disciplines, or 24 semester credit hours in one's career field and 12 semester credit hours in the specified disciplines, is mandatory for membership in an Acquisition Corps. Completion of 24 semester credit hours in specified disciplines is the minimum mandatory standard for contracting personnel in the GS-1102 Series and those holding warrants above the small purchase threshold. The specified disciplines are; accounting, business finance, law, contracts, purchasing, economics, industrial management, marketing, quantitative methods, and organization and management.

b. Completion of the baccalaureate degree is a mandatory standard for Acquisition Corps membership and an alternate mandatory standard for contracting personnel. Although DAWIA does not limit support for baccalaureate degrees to specific disciplines, Component programs will focus their support on courses and degrees in those disciplines that underpin the acquisition functions specified in 10 U.S.C. 1721. These disciplines include the sciences, engineering and other technical fields, business, and management. Components will support degrees for those students who have been admitted to an accredited institution and who are pursuing an approved plan of study leading to a degree in an acquisition-related discipline. Components may reimburse tuition at accredited two-year institutions, if the student's program of study leads to eligibility for and transfer of credit to accredited institutions which grant baccalaureate degrees in an acquisition discipline. Within these guidelines, Components may reimburse tuition for any course which satisfies a requirement for the degree which the student is pursuing.

2. Desired: In addition to enabling personnel to meet required educational standards imposed by statute or policy, Component programs for tuition reimbursement and degree training should also encompass opportunities for personnel to fulfill educational requirements listed as "desired" for the employee's current career field in DoD 5000.52M. Desired education also includes either obtaining a graduate degree in one's career field, or completing individual courses, another undergraduate degree, or a graduate degree for the purpose of meeting certification standards in a career field other than the employee's primary career field.

#### PRIORITY FRAMEWORK

Component programs shall be structured to support opportunities for acquisition workforce members to meet the full range of educational standards, both mandatory and desired, established by DAWIA and DoD policies. In the event of resource constraints, the Components will establish priorities for funding based on the following guidelines:

1. Courses that enable acquisition workforce members to meet "mandatory" education standards established by statute will take precedence for funding over courses that meet "mandatory"

standards established only by DoD policy.

2. Courses that enable acquisition workforce members to meet standards established as "mandatory" in DoD policy will take precedence for funding over courses that meet "desired" standards.

3. Where alternative education standards are prescribed or are available, e.g., a degree or a lower number of credit hours in specialized courses, Components may elect to fund the coursework necessary to meet the less costly standard.

4. Courses in acquisition-related disciplines shall have priority for support over courses in non-acquisition related disciplines for acquisition workforce members enrolled in approved degree programs.

5. Within the above framework, employees in the following categories shall receive the following priority:

a. Acquisition workforce members whom management cannot reassign due to their inability to meet educational standards established by statute or policy, will receive priority for support. Of these, contracting personnel including civilians in 1102 Series positions and those holding warrants above the small purchase threshold, and incumbents of critical acquisition positions for whom membership in an Acquisition Corps is a requirement, will be given precedence.

b. Incumbents of critical acquisition positions who are exempt from education requirements as a result of position incumbency and who possess a bachelors degree but lack the required hours in specified disciplines shall receive secondary consideration, followed by incumbents of critical acquisition positions exempt from education requirements as a result of position incumbency and who lack a bachelors degree.

c. Third consideration will be given to acquisition workforce employees who require courses or degrees to progress in their careers, including new hires into level I or level II acquisition positions.

d. Fourth priority will be given to acquisition workforce members requesting tuition assistance to pursue courses or degrees desired for the employee's current career field, or for the purpose of developing mobility among other acquisition career fields.

e. Last priority shall be given to employees who are not currently assigned to acquisition positions, but whose performance in their current positions could be enhanced by developing competencies in the acquisition-related subjects specified in the statute or who would be strong candidates for a career in an acquisition field.

6. Acquisition positions are determined by statute to be a shortage category, and no justifications are necessary to provide tuition reimbursement for the purposes of developing and

retaining acquisition employees as noted above. Tuition reimbursement programs, however, shall not be used for the purpose of qualifying non-acquisition employees for acquisition positions when such conditions exist as are specified in section C., subsection 3 of DoD's Academic Degree Training Policy. Specifically, tuition reimbursement cannot be provided for recruiting new employees into acquisition specialties if there are "... excess employees in the same grade and series/skill or targeted grade and series/skill registered in the Priority Placement Program (PPP) as available for the Activity or geographic location... - (or) ... if Separation Incentives are being offered at the Activity or geographic location to positions in the same grade and series/skill or targeted grade and series/skill...."

7. Academic Standards: Employees must make satisfactory progress in completing course work.

#### PROGRAM STRUCTURE

In general, Component programs should be designed to support employees who pursue course work or degree programs on their own time. However, Components should have procedures for authorizing attendance during duty hours, and for enabling employees to pursue a full-time course of study, including a program leading to a degree.

# Rules and Regulations

**Federal Register**  
**Vol. 57, No. 89**  
**Thursday, May 7, 1992**

This section of the FEDERAL REGISTER contains regulatory documents having general applicability and legal effect, most of which are keyed to and codified in the Code of Federal Regulations, which is published under 50 titles pursuant to 44 U.S.C. 1510.

The Code of Federal Regulations is sold by the Superintendent of Documents. Prices of new books are listed in the first FEDERAL REGISTER of each week.

---

**OFFICE OF PERSONNEL MANAGEMENT**  
**5 CFR Part 410**  
**RIN 3206-AE60**

## **Training**

**AGENCY:** Office of Personnel Management.

**ACTION:** Final rule.

**SUMMARY:** The Office of Personnel Management (OPM) is issuing final regulations to implement provisions of Public Law 101-510, dated November 5, 1990. That law amended the statute governing Federal employee training by adding a provision directing that OPM, through its training regulations, allow agencies to authorize training without regard to the constraints in the training law on "academic degree training," if the training is necessary to assist in the recruitment or retention of employees in shortage occupations.

**EFFECTIVE DATE:** June 8, 1992.

**FOR FURTHER INFORMATION CONTACT:** Dr. Marjorie Budd, (202) 632-0255 or (FTS) 632-0255.

**SUPPLEMENTARY INFORMATION:** Public Law 101-510 (National Defense Authorization Act for Fiscal Year 1991) amended the training law (5 U.S.C. chapter 41) by providing in 5 U.S.C. 4107 that OPM include, as an exception to constraints in the training law, provisions in its regulations under which agencies may authorize training leading to an academic degree, if necessary to assist in the recruitment or retention of employees in occupations in which there are existing or anticipated shortages of qualified personnel, especially in those with critical skills.

On September 6, 1991, OPM published proposed regulations (56 FR 44012) to implement the new 5 U.S.C. 4107 provision. The comment period, which was 60 days from the date of publication, ended on November 5, 1991. Comments were received from twelve agencies and one interested individual. There was general concurrence with the proposed regulation, with four agencies concurring in the proposal without change. The following summarizes the comments, suggestions and actions taken.

## Waivers

Several agencies recommended that OPM delegate to agency heads the ability to waive limitations in 5 U.S.C. 4106 on the training of employees through non-Government facilities so that agencies would have sufficient flexibility to use degree training as an effective recruitment and retention tool. Specifically, agencies requested delegation to agency heads of the authority to waive the following provisions of title 5, United States Code: Section 4106(a)(1), which limits the number of staff-years of non-Government training an agency can provide annually to one percent of its total staff-years of civilian employment for that year; section 4106(a)(2), which restricts employees with less than one year of current, continuous civilian service from taking training through non-Government facilities; and section 4106(a)(3), which limits the amount of time an employee may spend in non-Government training to one year during any ten year period. The ability to redelegate the above waiver authorities within the agencies was also requested.

We have determined that no change is necessary to modify the effects of section 4106(a)(1) of title 5, United States Code, because 5 CFR 410.506(a) already allows the head of an agency to waive this limitation when non-Government facilities provide the only available training--as would normally be the case regarding training for a degree. Similarly, under 5 CFR 410.506(b), section 4106(a)(2) of title 5, United States Code, can be waived by the agency head when he or she determines that postponement of the training until the employee has one year of current, continuous service would be contrary to the public interest. Moreover, there is nothing in 5 CFR 410.506(a) or (b) to prevent redelegation of either of the two waiver authorities discussed in this paragraph to appropriate levels within the agency.

We have, however, changed the new rule to allow agency heads to waive section 4106(a)(3) of title 5, United States Code, the section of the training law that limits non-Government training for an employee to one-year-in-ten years of service, when non-Government degree training is being supported for employees encumbering or training for shortage occupations. We agree that the ability to waive the one-year-in-ten provision is needed so that agencies can have the option of fully supporting training for the time period needed to achieve the objective of the training. Agencies must document use of this new waiver authority in the Official Personnel Folders of the employees for whom it is exercised.

**Note:** Because this change is applicable only to shortage occupations, the two-years-in-ten waiver ceiling in section 5 CFR 410.506(d)(2) does not apply.

We considered it desirable to leave exercise of the new waiver authority to the discretion of agency heads. For this reason the rule change did not make the waiver automatic, as two agencies suggested. However, since no limitation has been placed on the level at which the waiver authority can be exercised, agency heads may delegate it to appropriate levels to facilitate effective use of the new rule.

## Training Covered

Several agencies wanted clarification about the kinds of degrees included under "academic degree training." While the level of training would be determined in individual cases by the circumstances of those cases, there are no general restrictions placed by the legislation or this rule on type or level of degree.

Inquiry was received as to the applicability of 5 CFR 410.511 to training for certificates or licenses. The legislative history shows no indication of intent to define a certificate or license as a

degree. Thus, fees paid to obtain such items would not be covered under the new law or this rule. However, training involved in preparing for a certificate or license-whether through Government or non-Government facilities-may be authorized if it meets the needs of the position, regardless of whether a shortage occupation is involved (see the Comptroller General's decision 55 Comp. Gen. 759). Coverage and applicability of academic degree training will be dealt with in more detail in Federal Personnel Manual Chapter 410.

Agencies also sought clarification as to whether academic degree training could be provided during either duty or non-duty hours, or both. There are no limitations in this regard. As is true of any training, agency policy and cost-effectiveness considerations will determine whether academic degree training will be taken during or after work.

One agency wanted to know whether cost-effectiveness of educational institutions means agencies must choose the least expensive school providing the training sought, and/or require that generic courses be taken at inexpensive schools and transferred to schools providing appropriate degrees. Our response is that agencies must choose schools or approaches that are the most effective, economical, and timely, as is true now under 5 CFR 410.502(a).

## **Occupations and Appointments Covered**

Several agencies had questions or suggestions about the occupations and types of appointments to be covered under the new regulation. It was suggested that the authority be expanded to cover all occupations. However, current law will not allow this; only shortage occupations are covered, with particular focus on occupations involving critical skills, as emphasized in the legislation.

There were also questions regarding whether pre-determined shortages include all situations where special salary rates have been granted. We have added the phrase, "for an occupational group" to paragraph (b)(1), of the rule, which pertains to predetermined shortages based on special salary rates established under 5 U.S.C. 5305, to clarify that pre-determined shortages in this rule pertain to occupations. This coverage is specified in the enabling legislation, Public Law 101-510, which states that "the head of an agency may provide (degree) training \* \* \* if necessary to assist in the recruitment or retention of employees in occupations in which the Government has or anticipates a shortage of qualified personnel \*\*\*\*" (emphasis added).

One agency asked whether academic degree training would be allowed for employees of all positions with "typing" in their title in a locality where such positions were declared a shortage and were covered by a special salary rate. The agency was further concerned that persons occupying similar positions without "typing" in the title would be unfairly excluded from academic degree training. Since assignment of a special salary rate to a particular occupational group under 5 U.S.C. 5305 is based on an objective assessment that recruiting/retention problems exist for that particular group, shortage positions with "typing" in the title that are assigned such special salary rates would be covered. However, an agency's decision about whether to use academic degree training for recruitment purposes for such positions also would be based on paragraph (g)(1) Authorization of training, which states that "Training \* \* \* may be authorized under this section to address a recruitment problem to the extent that it qualifies an employee in a shortage position\*\*\*\*" (emphasis added). Similarly, the agency's decision to use academic degree training for retention purposes would be based on paragraph (g)(2) of the new rule, which states that "Training may be authorized under this section for the purpose of retaining an employee in a shortage occupation \* \* \* if it involves a course of study which is mainly selected for its potential contribution to effective performance in that occupation."

One agency asked whether pre-determined shortages in positions filled by members of the

National Defense Executive Reserve Program (paragraph 410.511(b)(2)) referred to positions vacated by members of the Executive Reserve Program or positions filled by these members in the event the cadre is activated to deal with a national emergency. The inclusion of this Program under pre-determined shortages is to provide for any special training that might be needed for the new positions the cadre would occupy.

There was also a request for clarification on what was meant in paragraph (a)(5) by "any position which is excepted from the competitive service because of its confidential, policy-determining, policy-making, or policy-advocating character." This wording is taken directly from the enabling Act, and generally refers to Schedule C positions and positions to which individuals are appointed by the President.

### **Continued Service Agreements**

One individual and one agency asked about the applicability of continued service agreements under the new rule. The existing provisions in 5 U.S.C. 4108 and 5 CFR 410.508 and 410.509 on employee agreements to continue in service after training will apply to training for an academic degree.

### **Recruitment Methods, Appointments, and Other Considerations**

Several questions were asked regarding methods to be used for recruiting and filling positions for which academic degree training would be provided. Some issues of general concern are discussed here, but others are about operational and advisory matters that would not normally be included in a rule. In accordance with OPM practice, these issues will be dealt with in the Federal Personnel Manual.

Briefly, recipients of academic degree training must be qualified for the positions they occupy while being trained. For example, they might occupy interim positions, such as "technician" jobs while gaining qualifications for the target position of the training. Candidates can be selected from within or recruited from outside the agency. Also, academic degree training is allowable whether the current position, or a different target position, is in the shortage category, so long as the training selected meets the appropriate criteria for recruitment or retention specified in paragraph (g) Authorization of training. To allow maximum flexibility to agencies, any available appointment mechanism can be used so long as it allows the continued service agreement period to be fulfilled, and it is not an appointment to a position excepted from the competitive service due to its confidential, policy-determining, policy-making, or policy-advocating nature.

One agency objected to the level of detail in the guidelines on recruitment contained in paragraph 410.511(d). It was felt that agencies should provide their own recruitment criteria. However, the consensus of agencies consulted on this matter was that such criteria provide appropriate guidance in selecting positions or occupations upon which to focus academic degree training. We believe the criteria will provide assistance in developing a cost-effective approach.

In a similar vein, in view of new options arising from the Federal Employees Pay Comparability Act of 1990 and the Defense Authorization Act for Fiscal Year 1991, we have added paragraph 410.511(a)(3), which enjoins agencies to consider the degree to which other monetary inducements such as special salary rates and student loan repayments may already have alleviated the shortage situation.

Several minor editorial changes to the rule have been made to improve clarity.

## **Executive Order 12291, Federal Regulation**

I have determined that this is not a major rule as defined in Executive Order 12291, Federal Regulation.

### **Regulatory Flexibility Act**

I certify that these regulations will not have a significant economic impact on a substantial number of small entities because they affect only Federal employees and agencies.

### **List of Subjects in 5 CFR Part 410**

Authority delegation, Education, Government employees, Manpower training programs, Personnel Management Office, Office of Personnel Management, Constance Berry Newman, Director.

Accordingly, the Office of Personnel Management amends 5 CFR part 410 as follows:

1. The authority citation for part 410 is revised to read as follows:

Authority: 5 U.S.C. 4101, *et seq.*; E.O.11348, 3 CFR, 1967 Comp. p. 275 § 410.503 also issued under 5 U.S.C. 5364. § 410.506, §410.511, and § 410.602 also issued under 5 U.S.C. 1104. § 410.902 also issued under 42 U.S.C. 4746.

2. Section 410.511 is added to read as follows:

§410.511 Exceptions to the constraints on "academic degree training" to relieve recruitment or retention problems.

(a) *General.* (1) An agency may authorize training not otherwise allowable under 5 U.S.C. 4107(c) if the training:

(i) Is necessary to assist in the recruitment or retention of an employee in an occupation in which it has or anticipates a shortage of qualified personnel, as discussed in paragraphs (b) and (c) of this section, especially in occupations involving critical skills, and

(ii) Meets the conditions of the section.

(2) In exercising the authority in this section, an agency shall give priority to relieving shortages in occupations which it has determined involve skills critical to its mission.

(3) In reviewing the need to provide training under this section, an agency shall give appropriate consideration to any special salary rate, student loan repayment, or other monetary inducement authorized by law already provided or being provided which contributes to the alleviation of the staffing problem in the occupation targeted by that training.

(4) In exercising the authority in this section, an agency shall, consistent with the merit system principles set forth in 5 U.S.C. 2301(b)(1) and (2), take into consideration the need to maintain a balanced workforce in which women and members of racial and ethnic minority groups are appropriately represented in the agency.

(5) The authority in this section shall not be exercised on behalf of any employee occupying, or seeking to qualify for appointment to, any position which is excepted from the competitive service because of its confidential, policy-determining, policy-making, or policy-

advocating character.

(6) An agency's policies established pursuant to § 410.301(a) of this part shall cover decisions to authorize training under this section to ensure that:

(i) The determination to pay for degree training is made by the agency head or other officials to whom the authority has been delegated,

(ii) The authority is used so as to address the agency's recruitment and retention problems expeditiously through appropriate delegations of authority and

(iii) Consideration is given to the cost-effectiveness of educational institutions in selecting training facilities under § 410.502(a) of this subpart.

(b) *Pre-determined shortages.* For the purposes of this section, there shall be deemed to be a shortage of qualified personnel in positions-

(1) For which a special salary rate schedule established for an occupational group pursuant to 5 U.S.C. 5305 is in effect;

(2) Filled by members of the National Defense Executive Reserve program who are called to duty in the event of a national emergency;

(3) For which direct-hire authority has been granted by OPM, covering all positions in a specific series, grade, and geographic location;

(4) Identified by law as having such a shortage; or

(5) Identified by a Federal agency as having such a shortage when authorized by law to do so.

(c) Shortage determinations by *employing agency*. If a determination of a shortage as described in paragraph (b) of this section has not been made which would be applicable to a particular recruitment or retention problem, an agency may, for the purposes of this section, determine that it either has or anticipates a shortage of qualified personnel, using the criteria in paragraph (d) or (e) of this section, as appropriate.

(d) **Recruitment problem.** Before determining that an agency has or anticipates a problem in the recruitment of qualified personnel for a particular position, an agency shall make a reasonable recruitment effort. In making a reasonable recruitment effort, an agency will consider the following:

(1) For a position in the competitive service, the results of requests for referral of eligibles from the appropriate competitive examination. For a position in the excepted service, the agency's objectives and staffing procedures.

(2) Contacts with State Employment Service office(s) serving the locality concerned.

(3) Contacts with academic institutions, technical and professional organizations, and other organizations likely to produce qualified candidates for the position, including women's and minority-group organizations.

(4) The possibility of relieving the shortage through broader publicity and recruitment.

(5) The availability of qualified candidates within the agency's current work force.

(6) The possibility of relieving the shortage through job engineering or training of current employees.

(e) *Retention problem.* Before determining that an agency has or anticipates a problem in the retention of qualified personnel in a particular occupation, an agency shall consider the following:

(1) The ease with which an agency could replace the employee with someone of comparable background.

(2) The current and projected vacancy rates in the occupation.

(3) The rate of turnover in the occupation.

(4) Technological changes affecting the occupation and long-range predictions

affecting staffing for the occupation.

(f) *Continuing problems.* An agency may use a determination made under paragraph (d) or (e) of this section to address recruitment or retention problems through training under this section if-

(1) The problems are similar in essential characteristics (occupation, series, grade, geographic locality) to that covered by the initial determination; and

(2) It has evidence that the original problem is a continuing one. A reassessment of a "continuing" recruitment or retention problem shall be made periodically.

(g) *Authorization of training.*

(1) Training, which is full or part-time, may be authorized under this section to address a recruitment problem to the extent that it qualifies an employee in a shortage position identified under paragraph (b) or (d) of this section, if the agency makes a finding that there is reasonable expectation that the employee would be employed in the position after the training.

(2) Training may be authorized under this section for the purpose of retaining an employee in a shortage occupation identified under paragraph (b) or (e) of this section, if it involves a course of study which is mainly selected for its potential contribution to effective performance in that occupation.

(h) *Waiver authority.* The head of an agency may waive the limitation of training to one-year-in-ten years of service in section 4106(a)(3) of title 5, United States Code, for individual employees receiving training under this section when the following conditions are met:

(1) The employee is serving under a career or career conditional appointment, or other appointment allowing adequate opportunity for the employee to fulfill the obligation to continue in the service of the agency as required by section 4108 of title 5, United States Code; and

(2) A record of use of the authority is inserted in the employee's Official Personnel Folder containing the information required in paragraph (j)(2)(iii) of this section.

(i) *Monitoring of training.*

(1) An agency shall monitor training assignments made under this section. Continuation of an employee in a training assignment under this section shall be based on-

(i) An expectation that the shortage determination serving as the basis for the training has continuing validity; and

(ii) A determination that academic and job performance while in the course of study are to the agency's satisfaction

(2) An agency shall assess the contribution of training assignments under this section to the resolution of recruitment or retention problems in its shortage occupations.

(j) *Documentation.*

(1) In exercising the authority in this section, an agency shall retain in the servicing personnel office for 3 years or some period of time beyond completion of training or degree-

(i) A record of the employees who are assigned to training under this section; and

(ii) A record of any finding that a determination under paragraph (f) of this section is a continuing one, showing the evidence leading to that finding and any reassessment of such a finding.

(2) As a separate record, the servicing personnel office shall keep in the Official Personnel Folder of each such employee the following information:

(i) Justification for the shortage determination. If made under paragraph (b) of this section, the nature of that determination is identified. If made under paragraph (d) or (e) of this section, the shortage is described (in terms of occupational series, grade or grade range, geographical locality, and organizational assignment) and the agency's findings are recorded.

(ii) Kind of training (e.g., cooperative education tuition assistance program, continuing

professional/technical education, retraining for occupational change); a description of the field of study; and the nature of any degree pursued under the training program.

(iii) A record of any use of the authority to waive the limitation in section 4106(a)(3) of title 5, United States Code, as allowed in paragraph (h) of this section, showing:

(A) The amount of training through non-Government facilities already received in the employee's current decade of service which counts toward the limitation.

(B) The period for which the waiver is required, showing the month and year in which it is to begin and the estimated time needed to achieve the objective of the training. (The period to be covered by the waiver should not commence until completion of any period of training already authorized by a waiver granted under 5 CFR 410.506(d)).

(C) The projected beginning of the employee's next decade of service.

(D) A statement indicating the potential effect postponement of the training until the next decade of service would have on achievement of the training objective, including retention of the employee.

(iv) A written continued service agreement as described in 5 CFR 410.508 and 410.509.

[FR Doc. 92-10600 Filed 5-6-92; 8:45 am]

Billing Code 6325-01-M



THE OFFICE OF THE ASSISTANT SECRETARY OF DEFENSE

4000 DEFENSE PENTAGON  
WASHINGTON DC 20301-4000

29 OCT 1993



MEMORANDUM FOR DISTRIBUTION

SUBJECT: Department of Defense (DOD) Academic Degree Training Policy

This memorandum forwards DoD policy on academic degree training which is effective immediately, and supersedes all other guidance. In the future, it will be printed and distributed as part of the DoD Civilian Personnel Manual.

As you implement these policies, we encourage you to communicate and cooperate with representatives from your labor and employee organizations. Copies of this memorandum with attachments will also be forwarded to Civilian Personnel Offices. We are available to meet with you or your staff to provide information and advice. Questions regarding the interpretation or application of the attached policy should be directed to Ms. Lois Hickey, Defense Civilian Personnel Management Service, on (703)607-1336.

RONALD P. SANDERS  
Principal Director  
(Civilian Personnel Policy/Equal Opportunity)

Attachments:

DEPARTMENT OF DEFENSE  
ACADEMIC DEGREE TRAINING

A. REFERENCES

1. Section 1206(a) of Public Law 101-510, "The National Defense Authorization Act for Fiscal Year 1991"
2. 5 United States Code (U.S.C.) 4107
3. 5 Code of Federal Regulations (CFR) 410
4. DoD Directive 1400.25, "Department of Defense Civilian Personnel Manual System"
5. DoD Directive 5124.2, "Assistant Secretary of Defense (Force Management and Personnel)"

B. BACKGROUND

Public Law 101-510 (National Defense Authorization Act for Fiscal Year 1991) amended 5 U.S.C. chapter 41 to allow, but not require, agencies to authorize and pay for training that may lead to an academic degree, if necessary to assist in the recruitment or retention of employees in shortage occupations (existing or anticipated), especially those with critical skills.

C. POLICY

1. This policy applies to all DoD Components.
2. Installation commanders and other designated management officials are authorized to approve academic degree training in accordance with mission priorities and fiscal constraints. They may terminate academic training any time they determine it is in the best interests of the organization to do so.
3. This authority cannot be used if there are excess employees in the same grade and series/skill or targeted grade and series/skill registered in the Priority Placement Program (PPP) as available for the Activity or geographic location of the shortage position. In addition, this authority cannot be used if Separation Incentives are being offered at the Activity or geographic location to positions in the same grade and series/skill or targeted grade and series/skill as the shortage position. When the position is in a shortage category determined by law and the law requires a specific degree or a number of mandatory academic hours, the above restrictions do not apply for retention purposes. In all instances, there must be a reasonable expectation that the Department of Defense will receive a return on the investment. Management officials will consider retraining of current employees before approving academic training as a recruitment incentive.
4. Any academic training provided must contribute to effective performance in the shortage position or occupation and be obtained through nationally or regionally accredited institutions.

5. In exercising this authority, merit system principles and competitive procedures shall be followed in soliciting and selecting individuals. This authority shall be used to support the goal of a workforce representative of all segments of society without regard to political affiliation, race, color, religion, national origin, sex, marital status, age, or handicapping condition.

#### F. PROCEDURES

1. Follow procedures in accordance with 5 CFR 410.511.
2. Documentation, reports, and records shall be maintained in accordance with 5 CFR 410.511 requirements and readily available for review and submission upon request.
3. The following information shall be maintained on a fiscal year basis for each instance of training accepted: (a) shortage category (predetermined or Agency-determined); (b) purpose of training (recruitment, retention, meet acquisition requirements); (c) name of employee and (d) current title, grade and series; (e) shortage position's title, grade, series and (f) the Activity and location; (g) academic discipline/field; (h) number of semester hours; (i) number of on-duty or off-duty hours; (j) cost of training. Components must compile the information and forward it to the DASD(CPP/EO) by November 30 of each year. Components may issue interim record keeping and documentation procedures until the data can be input and retrieved from the Defense Civilian Personnel Data System (DCPDS) or Defense Business Management System (DBMS).

#### G. SUPPLEMENTATION

The policies set forth above shall not be supplemented except as prescribed by statute or otherwise authorized by the provisions of this policy. Established career program proponents in the Office of the Secretary of Defense, the Secretaries of the Military Departments, Directors of Defense Agencies with independent appointing authority, and the OSD Director of Administration and Management are authorized to issue internal implementing procedures where they (or their Assistant Secretaries or equivalent) determine such procedures to be essential. Copies of such procedures shall be provided to ODASD (CPP/EO) for review prior to publication.