



DEPARTMENT OF THE NAVY

OFFICE OF THE UNDER SECRETARY
1000 NAVY PENTAGON
WASHINGTON, D.C. 20350-1000

AUG 09 2004

MEMORANDUM FOR DISTRIBUTION

Subj: POLICY FOR PAYMENT OF ACADEMIC DEGREES, LICENSES, AND PROFESSIONAL CREDENTIALS

Encl: (1) ASN (M&RA) memo of 03 May 04
(2) Civilian Human Resources Manual, Subchapter 410 dtd 17 Jan 03
(3) Request for AAUSN Authorization to Pay for an Academic Degree
(4) Request for AAUSN Authorization to Pay for a License or Professional Credential

1. Enclosure (1) delegated authority to approve and pay expenses for academic degrees, licenses, and professional credentials. These flexibilities are intended to recruit, develop and retain a world-class workforce. This memorandum establishes policy and procedures for the approval of these payments within the Assistant for Administration, Under Secretary of the Navy (AAUSN) claimancy as follows:

a. Payment of academic degrees, licenses, and professional credentials will be approved by the AAUSN. No commitment, verbal or written, may be made without AAUSN approval.

b. Payments under this authority must be part of an established activity training plan that is aligned with strategic organization goals and objectives.

c. Activity heads will ensure that resources for degree programs, licenses and professional credentials are available on an annual basis.

2. S/HHRO Employee Relations and Development Branch will provide guidance to activities regarding policy and procedures and will review requests for compliance with enclosure (2). SHHRO will also coordinate with the AAUSN Financial Management Division to ensure that funding is available before submission of requests to the AAUSN for approval. Enclosures (3) and (4) will be used to request and document AAUSN approval.

3. For additional guidance, please contact Ms. Trish Tervo, telephone 703-693-0932, patricia.tervo@navy.mil, of the Employee Relations and Development Branch.


John H. La Raia
Assistant for Administration

Distribution:
(see next page)

Subj: POLICY FOR PAYMENT OF ACADEMIC DEGREES, LICENSES, AND
PROFESSIONAL CREDENTIALS

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DEPARTMENT OF THE NAVY

OFFICE OF THE ASSISTANT SECRETARY
(MANPOWER AND RESERVE AFFAIRS)
1000 NAVY PENTAGON
WASHINGTON, DC 20350-1000

MAY 03 2004

MEMORANDUM FOR DISTRIBUTION

Subj: COMMAND IMPLEMENTATION POLICY FOR ACADEMIC DEGREE
AND PROFESSIONAL CREDENTIALS PAYMENT

Ref: (a) Civilian Human Resources Manual, Subchapter 410,
January 17, 2003

Encl: (1) Sample Policy Statement for Academic Degrees
(2) Sample Policy Statement for Licenses and
Professional Credentials

Echelon I and II commands are authorized to pay expenses for academic degrees and professional credentials according to the requirements stated in reference (a). These flexibilities are intended to meet the needs of the commands to recruit, develop, and retain a world-class workforce. The authority to pay expenses for academic degrees, licenses and professional credentials may be redelegated to the lowest practicable level at command discretion.

To ensure that resources are allocated in accordance with the stated intent, Echelon I and II commands will issue implementing policy that describes conditions under which payment may be made and any applicable redelegation. Enclosure (1) contains a sample policy statement for academic degree payment, which may be adapted for your use.

Echelon I and II commands are to send a copy of their policy to implement payment for academic degrees and professional credentials to the Office of Civilian Human Resources, (Code 013) 614 Sicard Street, SE Suite 100, Washington Navy Yard, DC 20374-5072, within 30 days of command policy issuance.

Enclosure (1)

Further requirements for reporting resources expended and progress toward goal attainment will be forthcoming under separate cover. Questions may be directed to Dr. Edith E. Alexander at (202) 685-6475, DSN 325-6475.



PATRICIA C. ADAMS
Deputy Assistant Secretary
of the Navy (Civilian
Human Resources)

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SAMPLE COMMAND PAYMENT FOR ACADEMIC DEGREES POLICY

This memorandum delegates authority to approve and pay for academic degrees to Command X activity heads in accordance with guidance and procedures provided in the Civilian Human Resources Manual, Subchapter 410.

Maximum flexibility is provided to permit implementation that will meet organizational needs. Academic degree payment should be part of a planned, structured program of workforce development clearly aligned with strategic objectives. Programs developed for Command-wide implementation should be broad enough to allow labor-management partnership involvement at the local activity.

Activity heads are expected to:

- (1) Establish an annual activity training plan that is aligned with strategic organizational goals and objectives.
- (2) Resource for degree programs as required on an annual basis.
- (3) Communicate availability of funding for academic support throughout the activity. The activity head may specify eligible educational programs, professional credentials, cost limits, institution, applicant requirements, or other criteria to align with mission and resources.
- (4) Establish a process so that competitive procedures are used to select employees in accord with Merit System Principles.
- (5) Ensure that the Department of the Navy interest is protected by signed agreements made with the employee before assignment to training
 - For full-time training taken during work hours, the employee is to serve in the Department of Defense (DoD) for a period equal to at least three times the length of the program, to begin after completion of the degree program. (Title 5, Code of Federal Regulations (CFR) 410.309).
 - For part-time training taken during non-work hours, the employee is to serve in the Department of Defense (DoD) for a period equal to the course length, as defined by the semester or quarter length, to a maximum of four years. For example, a four month semester course will require a four month obligation to begin after completion of the degree program. The obligation for all courses taken as part of the degree program will be added consecutively to a total obligation not to exceed 48 months.

- With a signed agreement, the activity has the right to recover training costs if the employee voluntarily separates from the Department of Defense.
- The activity head is authorized to waive repayment in whole or in part. This authority may not be redelegated. Denial of a waiver request may be appealed to the next higher level of management in the chain-of-command where the final DON decision must be rendered.
- The employee must agree in writing to retake courses not successfully completed within one year at the employee's own expense. If the employee does not successfully complete the retake, he/she must repay the cost of the course to the funding activity. (5 CFR 430.102(b)(2) and DoD 1400.25-M, Subchapter 430, B.) Successful completion of a course is indicated by a final grade of "C" and above or its institutional equivalent.

(6) Document all instances of use of this policy. Further requirements for reporting of actual resources expended and progress toward goal attainment will be forthcoming under separate cover.

SAMPLE
PAYMENT for LICENSE AND PROFESSIONAL CREDENTIALS
POLICY

This memorandum delegates authority to approve and pay for licenses and professional credentials to activity heads in accordance with guidance and procedures provided in the Civilian Human Resources Manual, Subchapter 410. Payment for licenses should reflect workforce requirements clearly aligned with the activity's mission and strategic objectives.

Activity heads are expected to:

- (1) Establish an annual activity training plan that is aligned with strategic organizational goals and objectives.
- (2) Where budget flexibilities allow, resource for licenses and professional credentials on an annual basis.
- (3) Communicate availability of funding for payment of licenses and professional credentials throughout the activity. The activity head may specify eligible professional credentials, cost limits, institution, applicant requirements, or other criteria to align with mission and resources.
- (4) Establish a process so that approval for payment is obtained by the employee prior to the application for license or professional credentials. If funding is limited, ensure that competitive procedures are used to select employees in accord with Merit System Principles.
- (5) Payment is to be made on a reimbursable basis only. Proof of successful completion of license or professional credential is required before payment is made.
- (6) Document all instances of use of this policy. Further requirements for reporting of actual resources expended and progress toward goal attainment will be forthcoming under separate cover.

DEPARTMENT OF THE NAVY
CIVILIAN HUMAN RESOURCES MANUAL

SUBCHAPTER 410

CIVILIAN EMPLOYEE TRAINING AND CAREER DEVELOPMENT

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December 2003

Enclosure (2)

SUBCHAPTER 410

CIVILIAN EMPLOYEE TRAINING AND CAREER DEVELOPMENT

- References:**
- (a) Executive Order 13160, 23 June 2000
 - (b) 5 CFR 412, Executive and Management Development
 - (c) Department of Defense Civilian Personnel Manual, Chapter 412
 - (d) 5 CFR 410, Training.
 - (e) Department of Defense Civilian Personnel Manual, Chapter 410
 - (f) SECNAVINST 12273.1, "Assessment and Evaluation of Civilian Human Resources Management (HRM)"
 - (g) Section 1112 of the National Defense Authorization Act for fiscal year 2002, Public Law 107-107, amending 5 U.S.C. 5757
 - (h) Assistant Secretary of Defense (Civilian Personnel Policy) memo of 17 Jun 02, "Payment of Expenses to Obtain Professional Credentials"
 - (i) Chapter 23 of title 5, U.S.C.
 - (j) Title 5 U.S.C. 5946
 - (k) SECNAVINST 12410.24, "Civilian Leadership Development," 24 Aug 95
 - (l) DOD Directive 1430.16 of 11 Apr 97.
 - (m) Assistant Secretary of Defense (Force Management Policy) (ASD (FM&P)) Memo of 15 Aug 01, "Civilian Academic Degree Training."
 - (n) Section 1121 of the National Defense Authorization Act for fiscal year 2001, Public Law 106-398, amending 5 U.S.C. 4107

Cancellation: SECNAVINST 12410.22A

1. Purpose. This subchapter provides policy, delegates authority, assigns responsibility, and establishes requirements for civilian employee training and career development within the Department of the Navy (DON) consistent with the provisions of references (a) through (n).

2. Policy

a. The DON is committed to building the skills and competencies of its workforce in the most productive and efficient manner to support its mission. The DON must ensure that its civilian workforce is able to meet current and projected performance requirements essential to military readiness. The DON Civilian Employee Training and Career Development Program and the components of the program outlined in this subchapter apply to all DON civilian employees who meet the definition of 5 U.S.C. 2105.

b. Individual professional development should be consistent with the guidelines established by designated community managers.

c. Programs of professional development administered under this policy must be consistent with Merit System Principles. Identification and selection of employees for training and development opportunities must be done fairly and equitably, without regard to political affiliation, race, color, religion, national origin, sex, marital status, sexual orientation, status as a parent, age, or handicapping condition (reference (a)).

d. The provisions of this subchapter do not extend to training for the military and neither authorize nor preclude payments for academic degrees and professional licenses for the military.

3. Definitions. Definitions are contained in Appendix A.

4. Employee Training and Career Development Program Policy Requirements

a. DON commands and activities will invest sufficient resources to meet immediate and long-range training requirements, assess and assure individual employee competency, provide planned career development opportunities, and ensure that employees are afforded the opportunity to acquire the leadership competencies at the appropriate time in their career progression.

b. In accordance with references (b) and (c), DON commands and activities will systematically prepare employees for executive, management, and supervisory

positions, challenge all executives, managers, and supervisors through diverse assignments and programs of continuous learning, and ensure the ongoing exchange of executive, management, and supervisory knowledge consistent with Department-wide goals.

c. Employees will be selected for training and development on the basis of needs and requirements identified in performance appraisals, position function changes, formal career program requirements, regulatory issuances, strategic planning documents, and approved individual and organization development plans.

d. Training and development will be evaluated consistent with references (d) and (e).

5. Civilian Academic Degree Training Program Policy Requirements

a. The circumstances under which academic degree training payment will be made shall be determined by the command in accordance with work force priorities and available funds.

b. Payment of costs associated with obtaining an academic degree to assist in recruiting or retaining employees is no longer restricted to occupations in which a shortage of qualified personnel is identified.

c. Funding is authorized only for individuals participating in planned, systemic, and coordinated professional development programs. Such programs must meet both of the following criteria:

(1) Financial support for the program is pre-planned rather than ad hoc.

(2) The program consists of a sequenced set of instruction or assignments that clearly supports organizational objectives.

d. Funding is permitted for any course of post-secondary education delivered through classroom, electronic, or other means provided that it shall be administered or conducted by an institution that is accredited by a nationally recognized accrediting body to provide a curriculum of post-secondary education. The list

of nationally recognized accrediting agencies or associations is published by the Secretary of Education under 20 U.S.C. 1001(c). This listing can also be found on the Department of Education website www.ed.gov

e. Funding may include such additional expenses as may be necessary to ensure successful participation including but not limited to supplies and equipment, application fees, registration fees, and parking fees.

f. A continued service agreement shall be completed prior to degree payment. For full-time attendance, the continued service agreement obligates employees for whom academic degree training is paid to serve in a Government agency for a period at least three times the length of the time spent in academic degree training. The period of obligated service begins the day after the last training class (reference (e)). For part time training, the period of obligated service will be computed in accordance with reference (d).

g. Academic degree payment is not authorized for employees occupying Schedule C and non-career (political) Senior Executive Service (SES) positions.

h. Academic degree payment is not authorized for any employee attending an institution that discriminates on the basis of political affiliation, race, color, religion, national origin, sex, marital status, sexual orientation, status as a parent, age, or handicapping condition.

i. With the exception of a Federal grant of funds made available solely for student financial assistance or related administrative costs, funds may not be provided by contract or grant to an institution of higher education or any sub-element of that institution if either the parent institution or any sub-element of that institution has a policy or practice that prevents the Reserve Officers Training Corps (ROTC) units or student ROTC participation, or prevents military recruiting on campus, or access to student directory information.

j. Any bargaining obligations must be satisfied prior to implementation of this subchapter.

k. Offices with the authority to approve the establishment of programs of professional development that

offer academic degree payment shall ensure that the programs are implemented in a manner that will result in better organizational or individual performance. The effective use of programs of professional development shall be considered as a part of the overall assessment of human resources management. The nature and extent of the use of programs of professional development shall be documented by the activity to be included as a part of the review of organization health in the annual report required by reference (f).

1. This authority does not apply to the Navy Student Loan Repayment Plan under 5 U.S.C. 5379 and 5 CFR 537.

6. Payment of Expenses to Obtain Professional Credentials Policy Requirements

a. Payment of costs associated with obtaining and renewing professional credentials including professional accreditation, State-imposed and professional licenses, and professional certifications; and examinations to obtain such credentials is authorized in accordance with reference (g) and (h) to support the DON's human capital goals. Given the availability of funding, an activity may pay for professional credentials that are necessary or beneficial for the employee in the performance of official duties.

b. This authority will be implemented in a manner consistent with merit system principles as set forth in reference (i) and as described by the following criteria. The license or certification:

(1) Enhances productivity

(2) Improves performance

(3) Maximizes recruitment opportunities, especially for shortage category occupations and other labor market conditions

(4) Increases retention, especially for "high turnover" career fields

(5) Broadens and develops the skill base for a quality work force to accomplish the DON's mission and ensure readiness

(6) Supports civilian leadership development initiatives and career path improvements to meet future requirements

c. This authority is discretionary and is not an entitlement or benefit of employment.

d. Naval activities and Marine commands shall document the use of this authority. The Defense Civilian Personnel Data System (DCPDS) will be modified to provide essential data for program evaluation. Specific data (Appendix B) must be retained by the activities to be included as a part of the annual report required by reference (f) until the DCPDS accommodates these new requirements. Each approving official is responsible for ensuring that the use of this authority is documented.

e. Funding is permitted for licensure and certification as defined in reference (h) and Appendix A. This authority may not be used to obtain licenses or certifications from organizations that discriminate on the basis of race, color, religion, age, sex, national origin, parental status, sexual orientation or disability.

f. This authority may not be exercised on behalf of employees occupying Schedule C and non-career (political) SES positions. Direct-hire local national employees are eligible for payments to obtain licenses and credentials; however, indirect-hire local nationals, who are employed under another country's civil service system, are ineligible. Payment of certification expenses for a nonappropriated fund employee should be made from the funds used to pay other benefits to that employee.

g. Payment for licenses and certifications, and their subsequent renewals, may include, at the discretion of the activity and command, such additional expenses as dues or fees required by the licensing or certifying agency, fees for preparation for examinations, examinations, registration fees, and travel and per diem costs. Payment may not include employees' membership fees in societies or associations. See reference (j).

h. Payment shall be made on a reimbursable basis upon successful receipt of the credential. Reimbursement shall be through the completion of the SF 1164. Where pre-approval is required by the activity, internal procedures

for pre-approval of the reimbursement will be issued by the activity.

i. Any collective bargaining obligations must be satisfied prior to implementation of this instruction.

j. Unless permitted by law or regulation, minimum qualification requirements may not be established based upon the presence or absence of a license or certification.

7. Responsibilities

a. The Assistant Secretary of the Navy (Manpower and Reserve Affairs) is responsible for issuance of policy on DON civilian employee training and career development. This authority is redelegated to the Deputy Assistant Secretary of the Navy (Civilian Human Resources) (DASN(CHR)).

b. The Deputy Assistant Secretary of the Navy (Civilian Human Resources) (DASN (CHR)) is responsible for developing and issuing guidance and monitoring and assessing the overall program effectiveness.

c. In accordance with reference (k), the DON's Civilian Leadership Board (CLB) advises and assists the DASN (CHR) in the development of the Civilian Leadership Development (CLD) framework, and oversees its implementation by commands and activities. The CLB also functions as the "component" board, required in reference (l), providing oversight for the implementation of the Defense Leadership and Management Program (DLAMP) within the DON.

d. The Chief of Naval Operations (CNO), the Commandant of the Marine Corps, the Assistant for Administration, Office of the Under Secretary of the Navy, and the Commanders of Navy Echelon 1 and 2 commands reporting to the CNO are delegated the authority to implement this subchapter. They shall approve planned, systemic, and coordinated programs of professional development for academic degree payment and determine the circumstances under which payment for professional credentials will be made. This authority may be further delegated to the lowest practicable level.

Echelon 1 and 2 commands retain responsibility for ensuring funding support, assessing the effectiveness of

these programs, and reporting program data. They shall:

(1) Plan, program, budget, operate, and evaluate programs in accordance with references (a) through (n).

(2) Establish priorities and plans, and provide the necessary funds and resources to meet training requirements. At a minimum, it is recommended that between 1.5 percent to 5 percent of the annual payroll budget be allocated to support non-salary training costs.

(3) Establish a cost-effective training infrastructure using a combination of in-house resources, outsourcing, and partnerships. This infrastructure should include the capability to provide training through classroom sessions, advanced distributed learning instruction, and through actual work assignments employing various learning strategies.

(4) Integrate employee training, education, and development into their strategic planning process to ensure its contribution to mission accomplishment and performance goals.

(5) Create an environment that supports continuous learning and organizational development.

(6) Issue internal procedures that comply with merit system principles.

(7) Implement DoD and DON-wide training and educational development programs including wage-grade, career, and leadership development programs.

e. The Human Resources Service Centers will ensure that training data collected by activities are processed and reconciled in the applicable HR database systems as required.

8. Action. Individuals, commands, and activities mentioned shall take necessary actions to implement the provisions of this subchapter within 120 days.

SUBCHAPTER 410

PAYMENT OF EXPENSES TO OBTAIN PROFESSIONAL CREDENTIALS

APPENDIX A- DEFINITIONS

Certification is recognition given to individuals who have met predetermined qualifications set by an agency of government, industry, or a profession.

Licensing is the process by which an agency of (federal, state, or local) government grants permission to an individual to engage in a given occupation upon finding that the applicant has attained the minimal degree of competency required to engage in that occupation.

SUBCHAPTER 410

PAYMENT OF EXPENSES TO OBTAIN PROFESSIONAL CREDENTIALS

APPENDIX B DATA ELEMENTS

CIVILIAN LICENSES, CERTIFICATIONS, AND RELATED
EXPENSES

MODERN DEFENSE CIVILIAN PERSONNEL DATA SYSTEM

Data elements:

License/Certificate (Name of credential as
it appears on the
certificate)

Date License/Certificate Obtained

Initial Annual/Renewal

Cost of License/Certificate Additional Costs

Date Paid

Amount Paid

Training for certificate/license

ACRONYMS

CHR - Civilian Human Resources
CLB - Civilian Leadership Board
CNO - Chief of Naval Operations
DASN - Deputy Assistant Secretary of the Navy
DCPDS - Defense Civilian Personnel Data System
DLAMP - Defense Leadership Management Program
DoD - Department of Defense
DoDINST - Department of Defense Instruction
DON - Department of the Navy
HRM - Human Resources Management
ROTC - Reserve Officer Training Corps
SECNAVINST - Secretary of the Navy Instruction
SES - Senior Executive Service
U.S.C. - United States Code

REQUEST FOR AAUSN AUTHORIZATION TO PAY FOR AN ACADEMIC DEGREE

Activity:

Date submitted:

Point of Contact:

Phone:

Fax:

Email:

Employee:

SSN:

Title, Series, & Grade:

Accredited Institution:

Attach:

- Explanation of how the degree payment is part of a planned, structured program of workforce development aligned with strategic objectives.
- A Description of the competitive procedures and criteria for selection.
- Individual Development Plan
- Proof of Successful Completion of Class or Degree
- Continued Service Agreement
- DD 1556 or other applicable documents

Total cost: \$

SHHRO chop _____ Date _____ FMD chop _____ Date _____

AAUSN approval _____ Date _____

**REQUEST FOR AAUSN AUTHORIZATION TO PAY FOR A
LICENSE OR PROFESSIONAL CREDENTIAL**

Activity:

Date submitted:

Point of Contact:

Phone:

Fax:

Email:

Employee:

SSN:

Title, Series, & Grade:

Issuing institution or organization:

Describe License or Professional Credential:

Total Cost: \$

Explain how license or professional credential is necessary or beneficial for the employee in the performance of official duties

Attach:

- If applicable, competitive procedures and criteria for selection
- Individual Development Plan
- Proof of successful receipt of license or professional credential
- Completed Appendix B of CHRM, Subchapter 410, available at www.donhr.navy.mil in the HR Library
- SF 1164 - Claim for Reimbursement for Expenditures of Official Business

SHHRO chop _____ Date _____ FMD chop _____ Date _____

AAUSN approval _____ Date _____