



Waste Programs Division Professional Development Program Guidelines



March 2022

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Required Forms

The following forms are required to be submitted as part of the program requirement:

Initial Packet:

- Pre-Approval Packet Checklist*
- Self-Evaluation Checklist* (for managers, review the *Manager Role Profile* in order to complete self-evaluation)
- Professional Development Plan Pre-Approval Request*
- All documentation or backup that demonstrates the costs of the activities the employee is requesting PDP support to complete. Printouts of webpages showing purchase costs, registration or exam fees, etc. is acceptable.
- For those pursuing undergraduate degree, master's degree or Ph.D.: *Tuition Reimbursement Program Application/Agreement Form* (please read ADEQ Policy No. 1002.2018).
- Professional Development Program Purchasing Request Form*

Submit the following form upon completion of that year's activities, no later than June 30th of that fiscal year:

- Fiscal Year End Certification of Completion*
- Attach all documentation showing completion of planned activities and outcomes e.g. class grades, certification or registration earned, test results, etc.

This document and all forms are found at the following location:
J:\WPD\DIRECTORS OFFICE\PDP\2022 WPD Professional Development Program.

Why a Professional Development Program (PDP)?

- Because we have a mission and vision to fulfill to protect and enhance public health and the environment through achieving technical and operational excellence.
- In order to get there, we depend on our people to fulfill our mission; our employees are the foundation of all the good that we do as an agency.
- If we do not give our people the tools to grow and develop, we will have a workforce that will be stagnant and ineffective.

Introduction to the Program

ADEQ encourages, supports and invests in the development of its employees because we know our employees are the foundation of all the good that we do as an agency. Ensuring the technical and operational excellence of our staff furthers ADEQ's long-term success in carrying out our vital mission, and it will help us achieve our vision to become a national leader in balanced, leading edge environmental protection. This is why two of the agency's strategic priorities are to unleash our human potential and strengthen our core programs.

The Waste Programs Division (WPD) PDP provides support and funding for approved career development activities, including for staff to use up to **5% of their annual work time in a fiscal year (max 104 hours)**. **In FY2020, 24 Waste Program Division employees used over 791 hours to achieve their goals for their career development.** Professional development is separate from training provided or required by ADEQ for its employees.

We understand people are our most important asset and our success in achieving ADEQ's goals depends on developing the technical and leadership skills of our employees. WPD strongly believes that employees' professional development is an ongoing process that ensures employees are staying current—if not one step ahead—in their fields and mission-critical competencies. Through this initiative, WPD will be able to:

- Have a better understanding of our employees' professional goals, strengths, and development needs;
- Empower employees to take personal responsibility and accountability for their professional development, acquiring or enhancing the skills they need to stay current in required skills; and
- Develop and promote highly competent technical and managerial talent from inside ADEQ, therefore attaining greater continuity of excellence.

We understand we will be investing in people that we may, at some point, lose to another employer. We also understand that without supporting our employee's growth, we will have a workforce that will be less engaged and passionate about our mission. With this program, we are keeping our focus on creating our future workforce, with our mission to protect and enhance public health and the environment through achieving technical and operational excellence.

Qualifications

We are proud to offer PDP to qualified employees. The requirements to be eligible for the PDP are:

1. Be a full-time employee at ADEQ;
2. Employee's last performance period rating was a "Meets" Expectations or above;
3. Employee is not currently under a Performance Improvement Plan (PIP)¹;
4. Employee has no active disciplinary actions²;
5. Employee has completed all compliance/required training for the current job position;
6. Professional development is used to improve current job performance, to increase competence in one or more AZPerforms behaviors and core values, to maintain current certifications for registered professionals, and/or to reach short- or long-term career goals that will benefit ADEQ; and
7. That all full-time employees, regardless of their classification, position or status, will work at least 40 hours a week, or use approved leave, as appropriate, for hours missed. For those exempt employees, professional development hours are no excuse to attend a class or seminar for partial day's work and get paid for a full day.
8. Professional development hours are not to exceed 5% of the employee's time in a fiscal year or 13 days (104 hours total).

Tuition Reimbursement

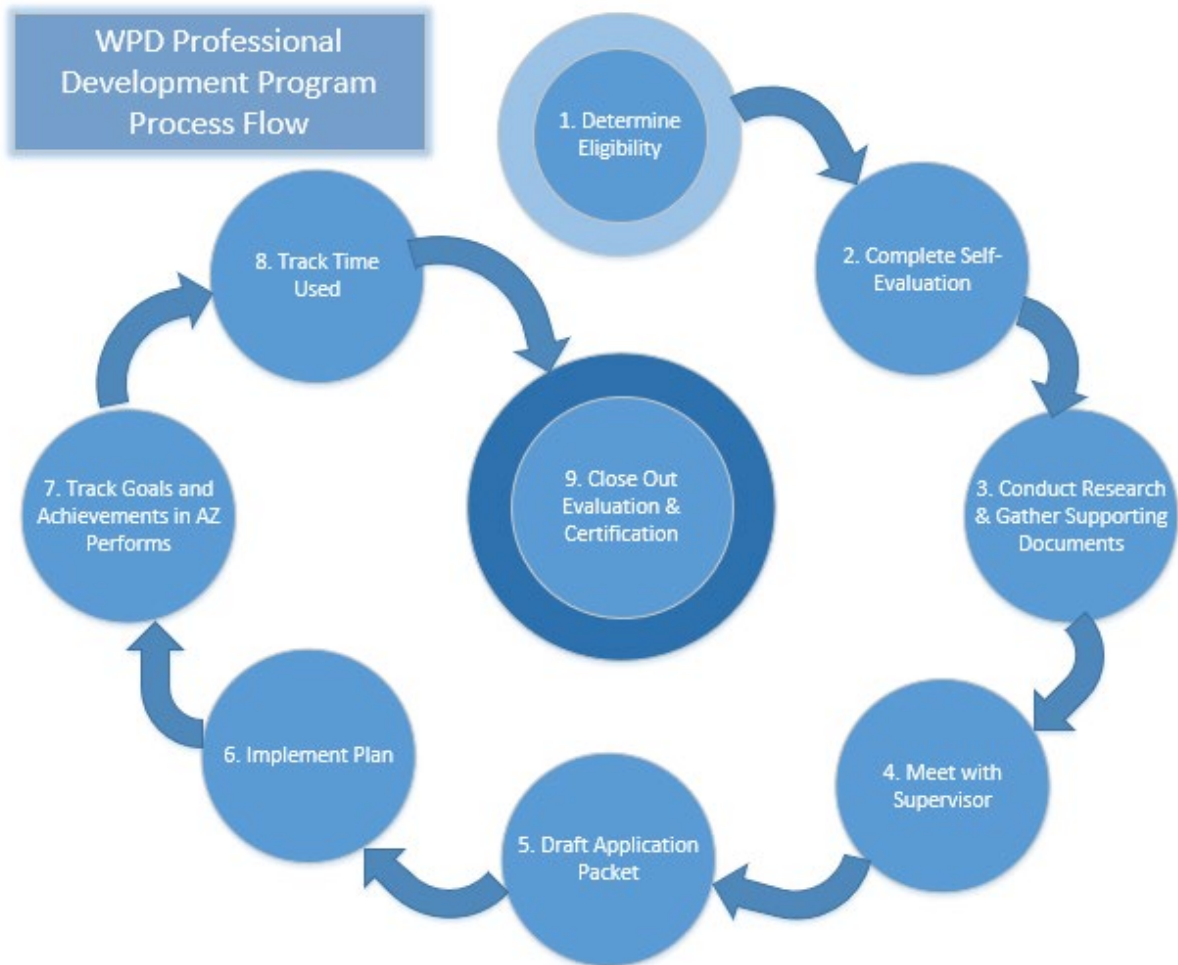
For those employees using PDP to pursue an undergraduate degree, master's degree or Ph.D., tuition reimbursement is available through this program, subject to funding availability. Employees may be eligible for reimbursement of up to \$2,000 in tuition and registration fees (not laboratory fees or book costs), per employee, per fiscal year at an accredited college, university or institution.³ Proof of completion of the course with a grade equivalent of "C" or better is required, if letter grades are given. If the course is pass/fail, a grade of Passing is required. Reimbursement is strictly for the employees own "out-of-pocket" expenses. Employees may not request reimbursement for costs covered by outside sources such as gifts, grants, fellowships or scholarships. Travel time and study time may be considered as part of the professional development hours (max 104 annually) and will be evaluated on a case-by-case basis.

¹ For those employees under a PIP, the PIP itself will address any need for professional development necessary to improve any competency/performance issues.

² If an employee receives approval to pursue professional development and along the way is involved in a disciplinary action, professional development approval may be rescinded.

³ If voluntary separation occurs within one year of receiving reimbursement, reimbursement must be refunded to the agency.

Process



The approval process requires communication between the supervisor and employee. How much time and effort an employee needs to spend at any one step in the process depends on the employee's goals. It is important to be clear about these goals, so that an effective strategy is developed to attain those goals.

1. Review policy guidelines to determine eligibility for the program

2. Evaluation Checklist and Self Awareness Questions

Employees who are deciding if PDP is a good fit for them should take time to consider what their career goals are, for the next year, next five years and beyond. There are various tools available to assist with this process, including many online that are designed to identify strengths, interests and career possibilities.

To assist in this, employees will complete an evaluation checklist and a few self-awareness questions to include in their submitted approval packet. The employee must take sufficient time to write and reflect on their goals to increase their self-awareness and help them clarify the goals they will use the PDP to help them achieve.

For Managers Only: Managers must review and conduct the Self- Assessment after reviewing the Manager Role Profile.

3. Research for Best Value & Most Relevant activities

Once an employee determines Professional Development will best help them to achieve their career goals, the employee should begin researching available options to determine what courses or training best meet the needs they identified and that follow ADEQ and state procurement policies. Employees should research what options are available to see if other options are available, either on state contract or that cost less. Many trainings are provided at no or minimal cost to state employees and those options should be fully explored before choosing a program. Out of state travel will not be approved for “standard” trainings or trainings that can be obtained in Arizona.

4. Employee/Supervisor Meeting

The employee and their supervisor **must** meet to discuss the employee’s strengths, areas for improvement, interests, goals, organizational requirements and the results of the employee’s best value and most relevant activities research from Step 2 of the process. The employee should bring documentation in support of the options they would like to request approval for that are available for their proposed activities. The employee must share with their supervisor the Evaluation Checklist and Self-Awareness Questions (Step 1 of Process). For managers participating in this program, they must also share the results of their Self-Assessment with their immediate supervisor.

5. Development of the Plan

The immediate supervisor and the employee will work together to complete the employee's PDP Pre-approval Request form. Here are some examples of professional development activities that can be pursued:

- Attend seminars/conferences outside of those offered by ADEQ
- Complete university courses
- Attend commercial/contracted courses
- Experience self-paced learning (computer-based instruction)
- Pursue an academic degree or certification program
- Research projects in areas that expand professional knowledge of the staff and that result in presentations, reports or similar documentation
- Teach a course or a continuing professional development session in an area that is relevant to a professional role
- Pre-professional, re-examination, or formal testing or continuing education to maintain a professional certification or license

Note: See attachment for websites with technical training opportunities that may assist staff in developing their Plan.

Approval of the proposed Plan must be obtained from the employee’s Unit Manager and Value Stream Manager. The Division Deputy Director will review the Plan for policy compliance.

NOTE: If an employee will be requesting reimbursement for college tuition, the *Tuition Reimbursement Program Application/Agreement Form* must be submitted in addition to the Plan for approval. This form provides pre-approval for the employee to proceed in taking and paying for the college/university courses so that they can later request reimbursement for up to \$2,000 per fiscal year. The form must be submitted for approval to the employee’s manager, the Division Deputy Director, the CHRO, Budget and the ADEQ Director.

When developing a Plan, the manager should consider if the Plan fits the individual. Examples to consider are:

1. A basic course is not appropriate for staff that hold a B.S. or higher in a science. In contrast, a basic environmental course could be appropriate for an administrative assistant who has not had that type of training previously.
2. Communication seminars and public speaking classes are encouraged for all project managers and those that deal with the stakeholders and members of the public.
3. Self-study for professional exams or a subject matter that pertains to job function or where more agency experts are needed (e.g., risk evaluation).

Both the manager and employee need to work together to make sure the Plan is realistic so that it can be completed within the fiscal year. If a goal involves multi-years, such as pursuing a degree, the Plan must be submitted for each fiscal year with the specific activities and costs associated for that fiscal year. Once the employee and their manager have agreed to what activities will be requested for approval, the employee must fill out the PDP Pre-Approval Request form, provide paper documentation for all requested costs, and the PDP Pre-Approval Checklist form.

6. Implementation of the Plan

Once all needed approvals are received for the proposed Plan, the employee pursues training and development identified in the Plan. Throughout the implementation phase, the employee and their immediate supervisor must **discuss the employee's progress during the 1:1's** to evaluate the usefulness of the training and development experience. Managers will encourage employees to share with other ADEQ staff the knowledge learned and/or experiences acquired in a setting such as a "Brown Bag" presentation or during a staff meeting.

7. AZPerforms Appraisal System Documentation

It is recommended that the employee document the following activities into the 1:1 Notes:

- The initial employee/supervisor meeting;
- The date the Plan was approved; and
- All completed training or development courses.

8. Tracking Time

Employees must enter their PDP time in H.R.I.S. as **Code 100A**. Employees who are found to have not used the appropriate code will be required to correct all timesheets with the correct code. This information is used for generating program metrics.

9. Close out Evaluation & Certification

Employees, with their immediate supervisor, should evaluate the effectiveness of the activities they have engaged in during the year. Employees should also decide if further trainings or courses would be of benefit to achieve the desired career goals identified in the Self-Evaluation process. By the end of the fiscal year, an employee who has used the PDP program must complete the Fiscal Year End Certification of Completion form, certifying the status of the activities approved under the Plan along with documentation such as grades, certifications earned, etc. A new Plan must be approved before beginning activities for every fiscal year an employee wishes to

participate. This is an important step to assist Value Stream Managers in budgeting training expenses for the next fiscal year.

Reimbursement/Payment Procedures for Professional Development Costs

1. Tuition Reimbursement* – <https://benefitoptions.az.gov/employees/education-discounts> lists colleges and universities that offer tuition discounts to Arizona State employees and that the state is able to reimburse for tuition costs.

- A. If an employee is requesting payment for college or university tuition, the student will pay the tuition up front. After successful completion of the course (a grade of “C” or better for undergraduate courses, “B” or better for graduate level courses), the employee will submit a request for reimbursement, up to \$2,000, per fiscal year, according to the approved terms under the PDP.
- B. For the employee to receive a reimbursement after the college or university classes have been taken and passed with a passing grade, fill out the [Employee Expense Reimbursement Form \(GAO-502\)](#) and submit to payroll through your immediate supervisor.
- C. Attach the following back-up documentation to the Employee Expense Reimbursement Form:
 1. Approved Plan that was signed by your Value Stream Manager
 2. A copy of the approved Tuition Reimbursement form.
 3. A copy of the transcript detailing the class(es) and the grade(s) accomplished for those class(es).
 4. Receipts from the university or college that detail the “out-of-pocket” cost paid for the classes (or any other type of documentation that will make clear that the cost of the classes has been paid). **Tuition costs covered by gifts, scholarships or grants are not eligible for reimbursement.**
- D. Filling out the Employee Expense Reimbursement Form fields:
 1. **Date Incurred** is the date the tuition is paid (this should be the date on the receipt from the college/university)
 2. **Amount** (and **Total Amount**) is the amount paid, up to \$2,000.00, for the college/university class
 3. **Description** is “Pay Code 660, name of college/university attended, name of course(s) (see attached transcript/grades)”
 4. Use multiple lines if requesting reimbursement for more than one course
 5. Fill in the rest of the appropriate fields in the top half of the form

Pay Code 660 - For reimbursing employee eligible costs for NONTAXABLE EDUCATIONAL ASSISTANCE in accordance with [GAO Technical Bulletin 10-12](#).

**Reimbursement can only occur if the individual has a passing grade*

2. Professional Registration Exam and Registration/Licensing Fees Reimbursement*

- A. For Professional License/Registration Exam Fee Reimbursement, fill out the [Employee Expense Reimbursement Form \(GAO-502\)](#) and submit to payroll through your supervisor.
- B. Attach the following back-up documentation to the Employee Expense Reimbursement Form:
 1. Approved Plan that was signed by your Value Stream Manager.

2. Letter from appropriate entity (e.g. Arizona Board of Technical Registration) indicating licensing requirements are satisfied.
3. Receipts from the professional licensing entity that detail the cost paid for the professional licensing exam (or any other type of documentation that will make clear that you already paid the cost of the licensing exam).

C. Filling out the Employee Expense Reimbursement Form fields:

1. **Date Incurred** is the date you paid for the professional testing fees (should be the date on the receipt from the licensing agency) and the date you paid your registration/licensing fee. The registration fee is the 3-year fee paid to be licensed.
2. **Amount** (and **Total Amount**) is the amount paid. If you pass your exam, you will also be required to pay a registration/licensing fee. Arizona Board of Technical Registration normally has a 3-year licensing fee. So, be sure to request reimbursement for the testing exam and the registration/licensing fee, plus any appropriate additional expenses.
3. **Description** is "Pay Code 670, Exam Name (e.g. Arizona Registered Geologist exam), professional registration is for a 3-year period from fill in date to fill in date."
4. Fill in the rest of the appropriate fields in the top half of the form.

Pay Code 670 - For reimbursing employee eligible costs for DUES AND PROFESSIONAL LICENSES in accordance with [GAO Technical Bulletin 10-12](#).

**If you are requesting reimbursement for the exam for the first time and fail that exam, ADEQ will still reimburse for the exam fee plus any other appropriate expense. From that point forward, though, ADEQ will reimburse the exam fee and any other appropriate expense only if you pass the exam.*

3. Conferences/webinars/training

Purchase through Purchasing representative

When ready to purchase materials/services, please fill out the *Professional Development Program Purchasing Request Form* and send it to Purchasing@azdeq.gov. Make sure you provide the appropriate funding sources and activity codes as directed by your VSM. Feel free to add any information to this form that will make it easier for Purchasing to purchase the materials/services for you. **Please do not forget to attach your approved and signed Plan form along with the purchase request.**

Out of Pocket purchase

If you purchase materials/services out-of-pocket without going through Purchasing and wish to be reimbursed for all reimbursable costs, please use the following process:

- A. Fill out the [Employee Expense Reimbursement Form \(GAO-502\)](#) and submit to payroll through your supervisor.
- B. Attach the following back-up documentation to the Employee Expense Reimbursement Form:
 1. Approved Plan that was signed by your Value Stream Manager.
 2. A copy of the description of your conference, webinar or training. The copy of the description should be from the conference, webinar, or training organizer.
 3. Documentation that the individual attended the conference, webinar or training.
 4. Receipts from the conference, webinar, or training organizer that detail the "out-of-pocket" cost paid for the conference, webinar, or training (or any other type of documentation that will make clear that you already paid the cost of the classes)

C. Filling out the Employee Expense Reimbursement Form fields:

1. **Date Incurred** is the date you paid for the conference, webinar, or training (should be the date on the receipt from the conference, webinar, or training organizer)
2. **Amount** (and **Total Amount**) is the amount paid.
3. **Description** is "Pay Code 662; conference, webinar, or training name (see attached description)"
4. Fill in the rest of the appropriate fields in the top half of the form

Pay Code 662 - For reimbursing employee eligible costs for CONFERENCE AND TRAINING FEES in accordance with [GAO Technical Bulletin 10-12](#).

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Forms

WPD PDP Pre-Approval Packet Checklist

To be completed by the employee, documenting that all required steps in the approval process have been completed before submitting a Pre-approval Request form for approval. Please turn this checklist in with your PDP Pre-Approval Form, along with all required documentation.

- Read all requirements, processes and Standard Work for the Professional Development Program.
- Complete Employee Self-Awareness Checklist.
**Manager's complete the Self-Awareness Checklist after reviewing the Manager Role Profile*
- Research best value and most relevant options to achieve desired goals.
- Discuss training options with HPO Training Manager and Purchasing representative, if applicable.
- Meet with supervisor to review results of research, goals, mission needs, etc.
- Complete Fiscal Year PDP Pre-approval Request form.
- Print documentation for all requested costs and attach to the Pre-approval form.
- Submit Pre-approval form with documentation and this checklist for approvals by the Unit Manager, Value Stream Manager and final review by the Deputy Division Director.
- Schedule Quarterly meetings with supervisor.

Name:	Date:
Signature:	Fiscal Year:

WPD PDP Self-Evaluation Checklist

Staff Name:	FY:
DIV/VS/Unit:	
Professional Development Program Self-Evaluation Checklist	
<p>How much time and effort an employee needs to spend at any one step in the process depends on an employee's goals. It is important to be clear about these goals, so that an effective strategy is developed to attain those goals. All ADEQ employees must check the statements that are true for them at this time:</p>	
<input type="checkbox"/> You have been in your job for a while and are striving for increased competence in general.	<input type="checkbox"/> You have been in your job for a while, but you have a new boss or organization leader.
<input type="checkbox"/> You need to improve your performance in certain areas of your current job.	<input type="checkbox"/> You need to update your skills or expertise to keep up with the changing technologies or state-of-the-art knowledge in your line of work.
<input type="checkbox"/> Your job duties have changed recently (or will change), requiring some new skills or expertise on your part.	<input type="checkbox"/> Your job may be eliminated due to reengineering or restructuring, and you want to begin "re-tooling" to be ready for future opportunities.
<input type="checkbox"/> You want to prepare for a promotion or move to the next higher level of responsibility.	<input type="checkbox"/> You want to broaden your skills or expertise to allow yourself more flexibility for future job moves.
Self-Awareness Questions	
<p>All ADEQ employees (managers and staff) must take time to write and reflect on their goals to increase their self-awareness and help them organize and synthesize their thoughts. To gain a better understanding of themselves, they need to answer the following questions:</p>	
<p>1. Of the new and recent developments at ADEQ, what interests me the most? What are my current skills and strengths for pursuing these interests? What do I need to do to reposition my career so that I can get involved in these new areas?</p>	
<p>2. What is most important to me in my work? What values guide the kind of work I want to do? Examples of guiding principles include: must agree with the organizational mission, must be allowed innovation and risk taking, and must honor family values for a balanced professional life.</p>	
<p>3. What are my limiting factors? These are things that put limits on the type of job you can take. Health concerns, geography, extensive and burdensome travel, not relocating until kids graduate, the need for an advanced degree, or a barrier or challenge are examples of potential limiting factors.</p>	

WPD Professional Development Plan Fiscal Year Pre-Approval Request

FY _____

Please enter as much information in each field as is necessary to fully explain the employee's plan, goals, and expected costs. You may use extra pages, if necessary.

Name:	Supervisor Name:
Job Title:	# Years in Position:
Submitted Date:	Div/VS/Unit:
Employee Career Mission Statement:	
Proposed Activities:	
Estimated Costs: <i>Add more lines if more costs need to be listed</i>	
Total Requested: \$	<i>Breakdown down each cost below</i>
Activity:	Cost:
Activity:	Cost:
Activity:	Cost:
Short Term Career Goals (1-2 years)	
Long Term Career Goals (3-5 years)	

Annual Evaluation Behaviors & Core Values Addressed by Activities:

State the AZPerforms Behaviors and Core Values that are addressed by the proposed activities. Include details on the activities & how any hours will be used; e.g. study time, attend courses, take examination, etc. Please add more lines if more activities need to be listed.

Behavior/Core Values Addressed:

Description of Activity:

Anticipated Completion Date:

#Hours Needed:

Details:

Behavior/Core Values Addressed:

Description of Activity:

Anticipated Completion Date:

#Hours Needed:

Details:

*I understand that if voluntary separation occurs within one year of receiving reimbursement, reimbursement must be returned to the agency. **At the end of this Fiscal Year, I am required to submit a Fiscal Year End Certification of Completion, with supporting documentation demonstrating completion of activities for this Fiscal Year.***

Staff Signature: _____ Date: _____

Approval Signatures:

I have reviewed the proposed plan and confirm it conforms to unit needs and agency standards.

Unit Manager Signature: _____ Date: _____

I have reviewed the proposed plan and confirm appropriate funding is available.

VS Manager Signature (for Budget): _____ Date: _____

I have reviewed the proposed plan and confirm it conforms to the Professional Development Plan guidelines.

Division Deputy Director Signature: _____ Date: _____

WPD Professional Development Plan Fiscal Year End Certification of Completion

Please enter as much information in each field as is necessary to fully explain the employee's plan, goals, and costs. For all completed activities, please attach certification, registration, grades or other documentation showing completion.

Name:	Supervisor:
Title:	FY:
Plan Effective Date:	Div/VS/Unit:
Name of Activity: <i>(must match name listed on initial plan approval form)</i>	
Current Status: Completed In process Abandoned <i>Please circle one</i> Reason: <i>(if not completed)</i>	
Name of Activity:	
Current Status: Completed In process Abandoned <i>Please circle one</i> Reason: <i>(if not completed)</i>	
Name of Activity:	
Current Status: Completed In process Abandoned <i>Please circle one</i> Reason: <i>(if not completed)</i>	
Is the Professional Development Plan multi-year? Yes No <i>Please circle one</i> <i>If Yes, how many fiscal years are estimated to be necessary to complete?</i>	
Will this development goal continue into the next Fiscal Year? Yes No <i>Please circle one</i> <i>If Yes, what activities? Each fiscal year, a pre-approval request must be submitted for activities or costs to be incurred in that fiscal year.</i>	

I certify the information above is true and correct.

Staff Signature: _____ Date: _____

Managers Review

Unit Manager: _____ Date: _____

Value Stream Manager: _____ Date: _____

Division Deputy Director: _____ Date: _____