

**NIH Guidance for Managing Mandatory Training
for NIH Supervisors**

November 5, 2012

All newly appointed or first-time NIH supervisors selected in December 2009 and thereafter must receive formal training in the required content areas below during their first year of appointment to a supervisory role, and every three years after that (refresher training), to satisfy the OPM regulation: 5 CFR Parts 410 and 412 and the HHS recommendations. Supervisors already in supervisory roles before December 2009 must receive formal refresher training every three years in the required content areas identified below.

This guidance pertains to all supervisory positions in the General Schedule, including those in the Commissioned Corps, or equivalent pay systems also covered by 5 C.F.R. pts. 410 and 412. Furthermore, this policy applies to employees newly appointed to the Senior Executive Service (“SES”) who are New Supervisors to the Federal Government as well as employees temporarily assigned or detailed to a supervisory position if that temporary assignment exceeds 90 days. Contract workers are not covered under this guidance.

Definitions:

Supervisor means an individual employed by an agency having authority in the interest of the agency to hire, direct, assign, promote, reward, transfer, furlough, layoff, recall, suspend, discipline, or remove employees, to adjust their grievances, or to effectively recommend such action, if the exercise of the authority is not merely routine or clerical in nature but requires the consistent exercise of independent judgment, except that with respect to any unit which includes firefighters or nurses, the term “supervisor” includes only those individuals who devote a preponderance of their employment time to exercising such authority (those with position code 2 [\(on the OF8\)](#) are required to take the training, code 4’s or other types of management positions are recommended).

Experienced Supervisor means a Federal employee who has served a minimum of one year in a supervisory role within the Federal Government prior to December 10, 2009.

New Supervisor to the Federal Government means a Federal employee appointed to a supervisory position for the first time within the Federal Government who has a minimum of one year prior supervisory experience in the private sector. Newly appointed SES hires from outside the Federal Government are included in this definition.

New Supervisor means a Federal employee who has never served in a supervisory capacity.

Requirements:

Specifically, **New Supervisors** must receive training that includes the use of appropriate actions, options, and strategies to:

OPM Required Training Content Areas (5 CFR Parts 410 and 412)

- Improve employee performance and productivity
- Identify and assist poor performers
- Mentor employees
- Conduct performance appraisals

In addition, the **HHS Required Training Content Areas** are:

- Human Resource Staffing
 - Hiring Process
 - Recruiting Strategies
 - Hiring Authorities
 - Hiring Flexibilities
 - Promotions
 - Contractors
- Performance Management and Appraisal Plan (PMAP)
 - PMAP Policy
 - PMAP Plan Development
 - Mid-Year Review Process
 - Annual Rating Process
- Performance Management
 - Setting Performance Expectations
 - Monitoring Performance
 - Diagnosing Performance Problems
 - Providing Performance Feedback
 - Mentoring for Performance
 - Recognizing Positive Performance Outcomes
- Employee Viewpoint Survey Input (addressing specific employee feedback)
- Employee and Labor Relations
 - Prohibited Personnel Practices
 - Merit Systems Principles
 - Master Labor Agreements (Collective Bargaining Agreements)
 - Performance Improvement Plan
 - Disciplinary Options
- Leave Administration
- HHS Enterprise Systems
 - Enterprise Technologies

- Work Life Quality

In addition, **New Supervisors to the Federal Government** may consider taking training in the following areas:

- Acquisition Management/Contracting
- Financial Management (Budget Formulation, Execution, and Internal Controls)
- Grants Management
- Congressional Operations
- Information Technology Management
- Travel Management
- Personal Property Management (including Fleet Management)
- Real Property Management
- Records Management
- Project Management
- Federal Culture
- Coaching

The training required reflects minimum requirements. Institutes may require, or individuals may elect, to take additional courses and are encouraged to do so.

In addition to instructor led training, new and existing supervisors should also be made aware of NIH Mentoring Programs, which will allow for the establishment of advisory or peer relationships, in order to enhance their development and insure a government-wide perspective. Furthermore, it is important to provide continuous learning experiences through an employee's career, such as details, mentoring, coaching, learning groups, and projects. These experiences should provide broad knowledge and practical experience linked to NIH's Leadership and Management Competencies, and should be consistent with the agency's succession management plan. For more information on the NIH Leadership and Management Competencies, visit <http://hr.od.nih.gov/workingatnih/competencies/core/default.htm#leader>.

Determining Which Courses and/or Programs Meet the OPM/HHS Requirements – Courses and/or programs (online or instructor led) that address the OPM criteria listed above, meet the requirements. In addition, the NIHTC (Supervisory Essentials and the Supervisory Refresher Program among others) and some of the IC's have their own supervisory training courses and programs. Each IC EO has the authority to determine courses and/or programs that meet the above criteria. New and existing supervisors should work in conjunction with their supervisors to determine the individually appropriate courses and/or programs applicable to each new or existing supervisor. A recommended course listing and additional guidance can be found at http://trainingcenter.nih.gov/mandatory_supervisory_training.html. Using an Individual Development Plan (IDP) or an Executive Development Plan (EDP) can be helpful in this process. For more information on development plans, visit <http://hr.od.nih.gov/workingatnih/competencies/idps/default.htm>.

New Supervisor Training - Supervisors hired after December 10, 2009 have twelve months from their appointment date (into the supervisory role) to take training in the required OPM and HHS topic areas.

New Supervisor to the Federal Government Training – It is recommended that supervisors hired after December 10, 2009, who have at least one year of supervisory experience in the private sector, take training (as deemed appropriate) in the OPM and HHS topic areas. In addition, each new supervisor to the Federal Government should receive development opportunities and instruction (based on their specific position duties) that provides a general assimilation into the Federal Government (see the above recommended topic area list).

Refresher Training – Supervisors already in supervisory roles in the Federal Government, before December 2009, must receive refresher training every three years in the above required OPM content areas (and as desired additional content areas meeting the [NIH Leadership and Management Competencies](#) or the HHS required topic areas). The minimum requirement is sixteen hours, which can include both the OPM areas and any additional areas. Each existing supervisor has three years from December 10, 2009 to take refresher training. Credit shall be given for periods of similar training previously completed by working with your IC EO.

Additionally, training may be obtained from leadership conferences, classroom, web based or other sources deemed appropriate. Supervisors shall ensure that the instruction offered through any alternate source addresses the NIH Leadership and Management competencies.

Tracking New and Existing Supervisors – Supervisory reports capturing existing supervisors and newly hired supervisors can be obtained through IC specific systems, the Enterprise Human Resources and Payroll (EHRP)/Capital HR, or Data Warehouse. Contact your IC HR Systems representative or your HR Specialist for more information. An example tracking spreadsheet can be found at http://trainingcenter.nih.gov/mandatory_supervisory_training.html.

Tracking New and Existing Supervisor Training – Training shall be tracked and reported using the Learning Management System (LMS). For tip sheets on entering course hours, view the following resources:

LMS Tip Sheets http://trainingcenter.nih.gov/lms_tip_sheets.html

LMS Resources http://trainingcenter.nih.gov/lms_info.html

A tracking spreadsheet is also available at

http://trainingcenter.nih.gov/mandatory_supervisory_training.html

Attendance – In order to successfully meet the requirements, and as an important part of supervisory development, new and existing supervisors are required to attend any scheduled courses and/or programs that they are signed up for. If courses and/or programs are missed, makeup sessions or additional training addressing the aforementioned areas must be attended. An employee who has not met the mandatory training requirements within the allowed time periods may be disciplined in a manner consistent with the policies of the agency. For more information about NIH's disciplinary action policies or to contact your IC Employee Relations (ER) Specialist, visit the NIH Employee Relations

Resources and Links web page at <http://hr.od.nih.gov/hrguidance/er/links.htm> (view the Table of Penalties under NIH).

Waivers – Supervisors may seek a full or partial waiver of required courses or topic areas by submitting a completed attendance waiver/exemption request form and supporting documentation to the supervisor and the IC's Executive Officer. Supporting documentation must show experience managing a group of similar size and complexity to the current NIH supervisory position. Waivers or exemptions will be granted in rare and infrequent occurrences. An example waiver memo can be found http://trainingcenter.nih.gov/mandatory_supervisory_training.html.

Extensions – Supervisors may seek an extension for completing mandatory supervisory training by submitting a completed extension request form and supporting documentation to the supervisor and the IC's Executive Officer. A new supervisor seeking an extension because of an unforeseen event must complete the courses for which additional time was granted within 120 days of the extension. All extensions must be in writing and specify a deadline by which the training shall be completed. Extensions will be granted in rare and infrequent occurrences. An example extension memo can be found http://trainingcenter.nih.gov/mandatory_supervisory_training.html.

Reporting - The NIH annually reports out to OPM via the LMS. Additional guidance on reporting will come through the NIHTC as it is made available by OPM/HHS.