

**Minerals Management Service  
Interim Policy Document**

**Effective Date:** February 17, 2009

**IPD No.:** 08-14

**Series:** Administrative

**Title:** Supervisory and Managerial Development

**Originating Office:** Human Resources, Minerals Management Service

**1. Purpose:** This Mineral Management Service (MMS) IPD establishes policy for the provision of supervisory and managerial leadership competency development and training.

**2. Objectives.** To ensure the ability of MMS supervisors and managers to achieve results by establishing a strong learning environment that supports both the initial as well as ongoing training and development needs of new and current leaders. To express the commitment of the MMS in developing its leaders by ensuring the active involvement of higher-level officials in the development of their supervisory and managerial direct reports, and by serving as positive role models, mentors, and teachers of leadership.

**3. Authority.**

Workforce Flexibility Act of 2004 (Public Law 108-411, 203)

Chapter 41 of Title 5, United States Code

Parts 410 and 412 of Title 5, Code of Federal Regulations

**4. References.**

DOI Personnel Bulletin No. 06 – 04 (412), dated November 9, 2005

**5. Definitions.**

A. Supervisor. An employee occupying a position which has been designated as supervisory in accordance with guidance outlined in the U.S. Office of Personnel Management General Schedule Supervisory Guide, or comparable grade evaluation guide. A position designated as supervisory involves the performance of supervisory duties and responsibilities encompassing at least 25% of the overall time spent in performance of the position.

A supervisor is one who accomplishes work through the direction of other people and has the authority to hire, direct, assign, promote, reward, transfer, furlough, suspend, discipline, or remove employees, to adjust their grievances, or to effectively recommend such action. Supervisory responsibility is not routine or clerical in nature but requires the consistent exercise of independent judgment.

B. Probationary Supervisor. An employee initially appointed to a supervisory position who is subject to a supervisory probationary period.

C. Manager. An employee whose authority includes the responsibility to direct the work of an organizational unit, who is held accountable for the success of specific line or staff functions, monitors and evaluates the progress of the organization toward meeting goals, and makes adjustments in objectives, work plans, schedules, and commitment of resources.

D. Probationary Manager. An employee appointed to a position designated as managerial who has not previously served satisfactorily as a supervisor and/or has not previously completed a supervisory probationary period.

E. Probationary Period. A period of at least 12 consecutive months during which the MMS will assess a new supervisor's or a manager's supervisory or managerial performance (not technical ability or program knowledge) based on established performance criteria and evaluation of supervisory leadership competencies.

F. Competency. An observable, measurable set of skills, knowledge, abilities, behaviors, and other characteristics an individual needs to successfully perform work roles or occupational functions. Competencies are typically required at different levels of proficiency depending on the specific work role or occupational function. Competencies can help ensure that individual and team performance aligns with the organization's mission and strategic direction

G. Core Leadership Competencies. MMS adopts the 28 leadership competencies identified by the Office of Personnel Management (OPM) which comprise the personal and professional attributes (at the mastery level of proficiency) considered critical in achieving mission goals and ensuring the Federal Government has an effective civilian workforce.

H. Human Capital Assessment and Accountability Framework (HCAAF). The HCAAF supports an ongoing process of human capital management in every Federal agency (planning and goal setting, implementation, and evaluating results) organized within five systems. The following link provides additional information on the HCAAF:  
[http://www.opm.gov/hcaaf\\_resource\\_center/2-2.asp](http://www.opm.gov/hcaaf_resource_center/2-2.asp)

**6. Coverage.** This policy applies to all employees of the MMS whose positions are designated as supervisory or managerial.

**7. Policy.** It is the policy of MMS to ensure new probationary and non-probationary supervisors and managers receive training to develop the leadership competencies needed for entry-level proficiency, to provide continual learning opportunities designed to challenge and advance their skills and leadership competencies, and to prepare them for advancement within the MMS and the Department. Therefore, MMS adopts the core leadership competencies developed by the Office of Personnel Management (OPM) as the basis for all supervisory and managerial training and development. These leadership competencies should be also integrated into succession planning and multi-rater feedback systems to ensure that the Federal Government has an effective civilian workforce.

A highly competent workforce is key to the successful accomplishment of the mission goals and program objectives within the MMS and Department. While technical, job-specific knowledge is important, supervisors/managers must also develop their critical leadership skills and attributes in order to assure their success, the success of their direct reports, Bureau goals, and to achieve the goals of the organizational units.

It is the policy of MMS to promote the leadership development of supervisors and managers through a planned, prepared, and coordinated process. The MMS is committed to dedicating necessary and sufficient resources to attain and maintain the developmental objectives outlined here for its supervisors and managers.

The Department has adopted the core leadership competencies developed by the Office of Personnel Management (OPM) as its basis for supervisory and managerial training and development. These core leadership competencies have been linked in this IPD to training both in Phase 1 (required by all probationary supervisors/managers) and in Phase 2 (advanced skill development and continual learning). Definitions/descriptions of the Phase 1 and 2 leadership competencies are included. For a complete listing of all of the OPM leadership competencies and their definitions, please access <http://www.opm.gov/ses/define.asp>. In addition, Appendix 1 of this IPD provides further clarification by linking desired performance to core leadership competencies.

**A. Training Requirement for Probationary Supervisors/Managers (Phase 1).**

During their first year, all probationary supervisors/managers (and non-probationary supervisors/managers whose previous supervisory/managerial assignment was in excess of 5 years ago) must complete a minimum of 40 hours of basic training in human resources management, equal employment opportunity, diversity, and ethics (see Appendix I for suggested training topics).

The 40 hours of basic training selected to satisfy this requirement should also concentrate on the acquisition or strengthening of the probationary supervisor's/manager's knowledge of the following Phase I leadership competencies.

**Phase 1 Competencies:**

| <b>Leadership Competency</b> | <b>Definition/Description</b>   |
|------------------------------|---|
| Human Resource 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.   |
| 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. |

|                       |  |
|-----------------------|--|
| 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 and to address training and development needs. Understands linkages between administrative competencies and mission needs.   |
| Partnering            | 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.   |
| 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.  |
| Leveraging Diversity  | Recruits, develops, and retains a diverse high quality workforce in an equitable manner. Leads and manages an inclusive workplace that maximizes the talents of each person to achieve sound business results. Respects, understands, values and seeks out individual differences to achieve the vision and mission of the organization. Develops and uses measures and rewards to hold self and others accountable for achieving results that embody the principles of diversity. |
| 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.  |
| 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.   |
| 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.   |

Through the Federal Personnel/Payroll System (FPPS), supervisors/managers currently certify to the Servicing Human Resources Office (SHRO) the successful completion of the supervisory probationary period for their supervisors/managers who directly report to them. This certification also serves as confirmation that the probationary supervisor has completed the required 40 hours of basic training during the supervisory probationary period.

**B. Training Requirement for Supervisors/Managers (Phase 2).**

In order for supervisors/managers to effectively advance their leadership skills and to prepare them for new challenges and developmental opportunities, they should make continual learning a priority. It is the goal of the Department and this IPD that supervisors and managers gain a proficiency in Phase 2 leadership competencies by the end of the second year in a supervisory/managerial position.

Phase 2 Competencies:

| <b>Leadership Competency</b> | <b>Definition/Description</b>   |
|------------------------------|---|
| Developing Others            | Develops the ability of others to perform and contribute to the organization by providing ongoing feedback and by providing opportunities to learn through formal and informal methods.   |
| 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.   |
| Influencing/Negotiating      | Persuades others; builds consensus through give and take; gains cooperation from others to obtain information and accomplish goals; facilitates "win-win" situations.   |
| 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.                   |
| 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.   |
| 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.  |
| 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. |
| 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.  |
| Problem Solving              | Identifies and analyzes problems; distinguishes between relevant and irrelevant information to make logical decisions; provides solutions to individual and organizational problems.  |
| Written Communication        | Expresses facts and ideas in writing in a clear, convincing and organized manner.   |

### C. Continuing Education Requirements for Supervisors/Managers

It is the goal of MMS that **ALL** non-probationary supervisors and managers participate in training and development activities that not only strengthen these leadership competencies and address other identified development needs, but serve to expand their skills in other leadership arenas. MMS suggests that non-probationary supervisors/managers participate in, at a minimum, 8 hours (or 1 day) of leadership-focused learning activities each year to comply with OPM guidance in achieving (and maintaining) mastery level proficiency for his or her current management level and position (5 CFR 412.103.C.3).

Identification of continuing education for supervisors and managers may be based on the results of 360-degree feedback to help target training that focuses on those competency areas needing improvement/emphasis for that supervisor/manager. It is important to remember that leadership skill development is not limited to classroom instruction. Distance learning classes; developmental assignments both inside and outside of government; reading assignments, such as management books and self-training modules, including presentations to other supervisors on management or leadership topics; participation in formal or informal forums which involve and encourage peer discussion and shared experiences; discussions with mentors and other teachers; and other instructive interaction with higher-level managers within, or outside MMS, provide options for continual learning opportunities valuable to self-development.

When selecting appropriate training for development of supervisors and managers, whether part of required probationary or continuing learning, also consider programs that provide guidance on workforce planning, succession planning, gap analysis, interviewing skills, active listening skills, mentoring, coaching, situational leadership, employee motivation, talent management, and performance management. Training programs that educate management on Federal hiring tools and flexibilities such as internship programs and incentives, on selecting diverse new hires with the appropriate competencies, and on providing effective management to a varied employee pool is also desirable.

Attached at Appendix I is a modified excerpt from DOI Personnel Bulletin No. 06-04 (412), dated November 9, 2005, Subject: Supervisory Development. This Supervisory Development Curriculum is a valuable tool and can assist in identifying training topics for development of Phase 1 and 2 competencies.

D. Individual Development Plans. All supervisors are required to have an Individual Development Plan (IDP) that is updated at least annually. Required training as well as individual training needs and developmental activities will be identified in the IDP. Since the IDP plays an important role in achieving individual performance objectives, the annual performance review is an ideal time to discuss and update the IDP. The IDP should also be visited during coaching sessions and the mid-year performance review, not only to assess progress, but also to discuss and potentially identify any needed modifications. Some steps to help with development of the IDP follow.

The key steps to developing an IDP start with the supervisor having a conversation with his or her employee comparing the competencies needed to perform the employee's job with those that the employee possesses and discussing approaches to address any gaps identified by this

comparison. This is also an opportunity to discuss the employee's career goals and identify opportunities to enhance leadership competencies necessary to achieve those future goals. The IDP is a way to document this conversation and any agreement reached by the supervisor and the employee on appropriate developmental activities. Care should be taken to separate discussions about specific performance accomplishments for the current performance cycle and the associated compensation implications from discussion about career plans and future performance. More information to assist with developing an IDP and a sample format for the IDP is available in the Department's Performance Appraisal Handbook at Appendix 5, which can be accessed at [www.doi.gov/hrm/guidance/curronly](http://www.doi.gov/hrm/guidance/curronly).

E. Quarterly Coaching Sessions. At least once every 3 months, supervisors of probationary supervisors and managers should meet with them to review progress in their probationary periods. These quarterly coaching sessions should be viewed as developmental experiences in which knowledge and skills are specifically discussed and documented. The annual evaluation for performance appraisal and the progress review session may serve as two coaching sessions. More frequent coaching sessions are encouraged as a good management practice.

## **8. Responsibilities.**

A. The Director, Minerals Management Service is responsible for:

- (1) Ensuring the assessment of developmental needs of the bureau's supervisors and managers;
- (2) Ensuring bureau training needs are systematically identified;
- (3) Ensuring funding is available as needed; and
- (4) Ensuring training activities meet the bureau needs and conform to Departmental policies and procedures.

B. Associate Directors are responsible for:

- (1) Developing, directing, and monitoring the supervisory and managerial leadership development programs by determining developmental needs within their programs;
- (2) Systematically identifying training needs of their respective organizations;
- (3) Providing for the delivery of training, to include ensuring adequate funding is available to support the program's needs; and
- (4) Evaluating the leadership development programs for effectiveness.

C. The Chief, Human Resources Division is responsible for:

- (1) Developing Bureau-wide policies, systems, procedures, and standards for supervisory and managerial leadership development;
- (2) Evaluating MMS supervisory and managerial leadership development needs identified by Associate Directors and developing objectives and plans to meet those needs;
- (3) Providing information, advice, and guidance to Servicing Human Resource Offices on planning and administering local supervisory and managerial leadership development programs; and
- (4) Modifying the program as needed in order to respond to new and changing demands.

D. Servicing Human Resources Offices are responsible for:

- (1) Receiving and disseminating guidance on supervisory and managerial leadership development programs;
- (2) Providing advice and assistance to supervisors, managers, and employees subject to this IPD;
- (3) Assisting managers and supervisors, as needed, in evaluating the developmental needs of their direct reports; and
- (3) Collecting and filing certifications required by this IPD.

E. Managers and Supervisors are responsible for:

- (1) Providing for the development of employees for effective job performance;
- (2) Identifying individual and organizational training needs;
- (3) Working with employees to identify appropriate training and developmental activities;
- (4) Establishing priorities and plans for meeting those needs;
- (5) Assigning sufficient resources to attain identified objectives;
- (6) Ensuring training requests are approved or denied and recorded;
- (7) Evaluating the effectiveness and results of training against objectives;
- (8) Encouraging and giving recognition to employee self-development; and
- (9) Monitoring completion of supervisory/managerial probationary periods for his/her direct reports to include ensuring completion of the mandatory 40 hours of basic training in human resources management, equal employment opportunity, diversity, and ethics training.

F. Employees are responsible for:

- (1) Collaborating with their supervisor to identify appropriate training, educational, and developmental activities;
- (2) Requesting needed or desired developmental opportunities;
- (3) Successfully completing such activities;
- (4) Applying knowledge and skills gained through training to the maximum extent possible in the performance of official duties;
- (5) Fulfilling continued service agreements, when applicable;
- (6) Performing tasks competently and, through self-development, preparing for possible reassignment and advancement; and
- (7) Taking an active role in their career development and growth.

**9. Documentation.** The immediate supervisor will monitor the needs and developmental progress of his/her supervisors and managers. If deficiencies are detected, the SHRO is available to provide advice and assistance. It is also the responsibility of the supervisor to complete IDP's for their supervisors/managers who directly report to them, which should outline plans for completing the 40-hour basic training requirements, continuing education requirements, and refresher training.

A. Maintenance of Documentation. The immediate supervisors will collect and maintain documentation concerning the completion of IDP's, basic and continuing education requirements, and quarterly coaching or mentoring sessions. The SHRO will maintain necessary certifications as detailed in this IPD.

**10. Cancellation.** This IPD will remain in effect until incorporated into the MMS Manual, cancelled, or superseded by another IPD or Manual.

Robert E. Brown  
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**Appendix I: Supervisory Development Curriculum**

**Phase 1**

| <b>Desired Performance</b>  | <b>Competency<sup>1</sup></b>                                   | <b>Behavioral Examples<sup>2</sup></b>   | <b>Suggested Training Topics<sup>3</sup></b>  |
|---|---|--|---|
| <p>Given the challenges of transitioning from a staff to a supervisory position, the new supervisor is able to perform in the new position consistent with the roles and responsibilities of a supervisor within the Federal government work environment.</p> | <p>Technical Credibility</p>                                    | <ul style="list-style-type: none"> <li>• <i>Manage a productive workforce.</i></li> <li>• <i>Protect employee rights.</i></li> <li>• <i>Support Bureau and Department programs and policies.</i></li> </ul>  | <ul style="list-style-type: none"> <li>• Key supervisory roles and responsibilities.</li> <li>• Employee rights and responsibilities.</li> <li>• Transitioning from a staff position to a supervisory position.</li> <li>• Bureau and Department programs and policies related to human capital, including but not limited to: Strategic Plan for Achieving and Maintaining a Highly Skilled and Diverse Workforce, Strategic Plan for Accessibility, DOI Strategic Plan: Management Excellence.</li> </ul> |
| <p>Given the organization’s mission and goals, funding, and other resources, the supervisor assesses current and future staffing needs and develops a staffing plan for successfully accomplishing the organization’s mission.</p>                            | <p>Human Resource Management<br/><br/>Written Communication</p> | <ul style="list-style-type: none"> <li>• Prepare workforce plans with projected number and type of staff needed.</li> <li>• Prepare position descriptions and performance elements and standards.</li> </ul> | <ul style="list-style-type: none"> <li>• Staffing and classification.</li> <li>• Position Management.</li> <li>• Bureau specific recruitment and hiring processes.</li> <li>• SWOT analysis.</li> <li>• How to write a PD (and crediting plan if applicable).</li> <li>• DOI and Bureau Workforce Planning initiatives.</li> </ul>  |

**Phase I**

| <b>Desired Performance</b>   | <b>Competency<sup>1</sup></b>  | <b>Behavioral Examples<sup>2</sup></b>   | <b>Suggested Training Topics<sup>3</sup></b>  |
|--|--|--|---|
| <p>Given a staffing need as identified in an approved workforce plan, the supervisor recruits and selects individuals based on merit principles and EEO regulations in the interest of building a diverse workforce.</p> | <p>Human Resource Management<br/><br/>Leveraging Diversity</p>   | <ul style="list-style-type: none"> <li>• Recruit individuals with knowledge and skills identified in the approved staffing plan and position description.</li> <li>• Recruit and hire a diverse workforce.</li> <li>• Make decisions on significant personnel actions.</li> </ul>  | <ul style="list-style-type: none"> <li>• Merit Systems Principles.</li> <li>• Prohibited Personnel Practices.</li> <li>• Equal Employment Opportunity.</li> <li>• Hiring Authorities, including special hiring authorities for the disabled and for veterans.</li> <li>• Recruitment Tools and Resources.</li> </ul>  |
| <p>Given a recruitment action, the supervisor plans for and conducts applicant and reference interviews that meet legal parameters and result in hiring the best candidate for the position.</p>                         | <p>Human Resource Management</p>   | <ul style="list-style-type: none"> <li>• Conduct selection interviews for making hiring decisions.</li> </ul>  | <ul style="list-style-type: none"> <li>• Interviewing Do's and Don'ts.</li> <li>• How to conduct an Interview that focuses on competencies and behaviors required by the job.</li> <li>• Selection and Approval Process.</li> <li>• Making reasonable accommodations for disabled applicants.</li> </ul>  |
| <p>Given work to be accomplished through direct reports, the supervisor will coach and counsel employees in meeting critical elements as identified in the employee's performance plan.</p>                              | <p>Human Resource Management<br/><br/>Interpersonal Skills<br/><br/>Service Motivation<br/><br/>Oral Communication</p> | <ul style="list-style-type: none"> <li>• Advise employees of their performance plan and keep them informed individually of their performance.</li> <li>• Conduct formal performance appraisals.</li> <li>• Communicate the organization's mission and vision to the staff.</li> <li>• Explain specific goals, activities, policies, and</li> </ul> | <ul style="list-style-type: none"> <li>• DOI Performance Management System.</li> <li>• Coaching and Counseling Skills.</li> <li>• Feedback Skills.</li> <li>• Performance Evaluation Skills.</li> <li>• Writing Critical Elements/Performance Standards.</li> <li>• Conducting a Performance Appraisal Session.</li> <li>• Motivational Theory/Models.</li> </ul> |

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|   |  | <p>procedures to direct reports.</p> <ul style="list-style-type: none"> <li>• Inform direct reports about developments and their impact on organization activities.</li> <li>• Motivate direct reports and peers towards future goals.</li> <li>• Establish organizational procedures and policies to empower direct reports.</li> <li>• Monitor and evaluate employee work products.</li> <li>• Develop procedures for evaluating work products.</li> <li>• Provide regular guidance to direct reports.</li> </ul> | <ul style="list-style-type: none"> <li>• Reasonable Accommodation and Resources.</li> </ul>  |
| <p>Given an employee's less than successful performance of critical elements identified in the employee's performance plan, the supervisor will take steps to improve the employee's performance in accordance with the policies of the organization.</p> | <p>Human Resource Management<br/><br/>Accountability</p> | <ul style="list-style-type: none"> <li>• Help employees improve performance.</li> <li>• Assist individual workers with job-related problems.</li> </ul>   | <ul style="list-style-type: none"> <li>• Performance Improvement Plans.</li> <li>• Performance-Based Actions.</li> <li>• Employee Assistance Program.</li> <li>• Accessible Technology Center.</li> <li>• Appeal Rights and MSPB.</li> </ul> |

**Phase I**

| <b>Desired Performance</b>  | <b>Competency<sup>1</sup></b>                                  | <b>Behavioral Examples<sup>2</sup></b>  | <b>Suggested Training Topics<sup>3</sup></b>  |
|---|--|---|---|
| <p>Given outstanding performance by direct reports, the supervisor will use the awards and recognition program to create and sustain a motivating and productive work environment, valuing the individual's motivational preferences.</p> | <p>Human Resource Management<br/><br/>Service Motivation</p>   | <ul style="list-style-type: none"> <li>• Provide recognition and rewards for effective performance.</li> </ul>  | <ul style="list-style-type: none"> <li>• DOI Awards and Recognition Program.</li> <li>• Bureau specific levels of authority, policies, and procedures for granting awards.</li> </ul>   |
| <p>Given employees with disabilities, the supervisor makes accommodations for those needs consistent with the requirements of the Rehabilitation Act of 1973 and Department and Bureau policy and directives.</p>                         | <p>Human Resource Management<br/><br/>Leveraging Diversity</p> | <ul style="list-style-type: none"> <li>• <i>Document individual needs.</i></li> <li>• <i>Make reasonable accommodations based on individual needs.</i></li> </ul>   | <ul style="list-style-type: none"> <li>• Characteristics of people with various disabilities.</li> <li>• Rehabilitation Act of 1973.</li> <li>• Department and Bureau policies on reasonable accommodation.</li> <li>• EEOC Role and Responsibilities.</li> </ul> |
| <p>Given a diverse workforce, the supervisor creates an inclusive work environment that includes respect, understanding, valuing, and maximizing the talents of each individual towards the accomplishment of the mission.</p>            | <p>Leveraging Diversity<br/><br/>Human Resource Management</p> | <ul style="list-style-type: none"> <li>• Create a work environment where individuals are treated fairly.</li> <li>• Implement workforce diversity training programs for self and direct reports.</li> </ul> | <ul style="list-style-type: none"> <li>• Benefits and Challenges of a Diverse Workforce.</li> <li>• Job Aids and Available Resources for Supervising a Diverse Workforce.</li> <li>• Religious Accommodation.</li> </ul>  |

**Phase I**

| <b>Desired Performance</b>  | <b>Competency<sup>1</sup></b>  | <b>Behavioral Examples<sup>2</sup></b>  | <b>Suggested Training Topics<sup>3</sup></b>   |
|---|--|---|--|
| <p>Given a task to be assigned, the supervisor assesses the employee's level of competence and commitment to the task, and provides the level of direction and support the employee needs for successful performance.</p> | <p>Leveraging Diversity<br/><br/>Human Resource Management<br/><br/>Accountability</p> | <ul style="list-style-type: none"> <li>• Match direct reports' interests and abilities with the job.</li> <li>• Set deadlines for project completion.</li> <li>• Establish organizational procedures and policies to empower direct reports.</li> <li>• Empower employees with authority and responsibility to make decisions that support the mission and goals of the organization.</li> <li>• Schedule work assignments, set priorities, and direct work of the staff.</li> <li>• Motivate direct reports and peers towards future goals.</li> <li>• Determine program or project priorities to allocate resources.</li> <li>• Design processes and structures for doing work.</li> <li>• Give direct reports substantial authority and discretion to carry out work activities and make decisions.</li> </ul> | <ul style="list-style-type: none"> <li>• Situational Leadership Model</li> <li>• Coaching</li> <li>• Delegation</li> <li>• Empowering Employees</li> </ul> |

**Phase I**

| <b>Desired Performance</b>   | <b>Competency<sup>1</sup></b>  | <b>Behavioral Examples<sup>2</sup></b>  | <b>Suggested Training Topics<sup>3</sup></b>   |
|--|--|---|--|
| <p>Given identified individual training needs and mandatory or required training, the supervisor will ensure that all employees, including the supervisor, receive the training in a timely manner.</p>  | <p>Leveraging Diversity<br/><br/>Human Resource Management<br/><br/>Accountability</p> | <ul style="list-style-type: none"> <li>• Train employees to know how and when to use automation or other technology related equipment.</li> <li>• Create an organizational environment, which encourages staff to stay current/informed about new automation or other technology.</li> <li>• Provide career growth opportunities to staff.</li> <li>• Provide employee coaching and counseling for career development.</li> </ul> | <ul style="list-style-type: none"> <li>• OPM, DOI and Bureau specific training policies and resources.</li> <li>• Career Development activities and resources.</li> <li>• Mandatory and Required Training (DOI and Bureau specific).</li> <li>• Reasonable accommodations related to training activities.</li> </ul> |
| <p>Given an employee situation of concern, the supervisor is able to differentiate between conduct and performance issues and take the appropriate steps to resolve conduct issues in accordance with organizational policies, procedures and standards.</p> | <p>Accountability<br/><br/>Human Resource Management</p>                               | <ul style="list-style-type: none"> <li>• Conduct disciplinary actions such as warnings and reprimands.</li> <li>• Take corrective action when problems arise.</li> <li>• Identify potential problems in employee behavior and take appropriate action.</li> <li>• <i>Conduct a “root cause” analysis of the situation.</i></li> </ul>   | <ul style="list-style-type: none"> <li>• Conduct vs. Performance.</li> <li>• Progressive Discipline.</li> <li>• Table of Penalties.</li> </ul>   |
| <p>Given the Standards of Conduct and other applicable guidance the supervisor determines the correct course of action when an ethical or conduct concern</p>  | <p>Accountability<br/><br/>Human Resource Management</p>                               | <ul style="list-style-type: none"> <li>• Maintain internal control systems to ensure protection against fraud, waste, and mismanagement.</li> <li>• Model high standards of</li> </ul>  | <ul style="list-style-type: none"> <li>• Standards of Conduct.</li> <li>• Ethics in the Workplace.</li> <li>• Statutory Prohibitions.</li> <li>• Post Employment.</li> </ul>   |

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| occurs and provides guidance to the employee.   | Integrity/Honesty   | <p>honesty and integrity.</p> <ul style="list-style-type: none"> <li>Review internal control systems for compliance against established procedures and standards.</li> </ul>   | <ul style="list-style-type: none"> <li>Disclosure of Financial Interests.</li> <li>Table of Penalties.</li> <li>Progressive Discipline.</li> </ul>  |
| Given an indication or claim of a hostile work environment, sexual harassment, or discrimination, the supervisor promptly conducts an investigation and takes measures as appropriate to correct the situation and maintain an environment free of discrimination and other inappropriate behavior. | <p>Accountability</p> <p>Decisiveness</p> <p>Problem Solving</p>        | <ul style="list-style-type: none"> <li>Prevent complaints from employees.</li> <li>Resolve complaints from employees.</li> <li><i>Immediately address inappropriate behavior.</i></li> <li><i>Reduce liability.</i></li> </ul> | <ul style="list-style-type: none"> <li>Guidelines for documenting an incident.</li> <li>Indicators of Potential Hostile Work Environment.</li> <li>Sexual Harassment and Quid Pro Quo.</li> <li>Discrimination: Disparate Treatment and Disparate Impact.</li> <li>DOI Zero Tolerance Policy.</li> <li>Protected Categories.</li> </ul> |
| Given complaints or grievances, the supervisor takes measures as appropriate to resolve them.   | <p>Accountability</p> <p>Conflict Management</p> <p>Problem Solving</p> | <ul style="list-style-type: none"> <li>Resolve complaints from employees</li> <li>Recommend solutions to critical or sensitive problems.</li> </ul>  | <ul style="list-style-type: none"> <li>EEO Complaint Process.</li> <li>Grievance Process.</li> <li>Alternative Dispute Resolution Process.</li> <li>No Fear Act.</li> </ul>   |

**Phase I**

| <b>Desired Performance</b>   | <b>Competency<sup>1</sup></b>  | <b>Behavioral Examples<sup>2</sup></b>   | <b>Suggested Training Topics<sup>3</sup></b>   |
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| Given organizational policy and procedures, supervisors will act in accordance with any bargaining unit agreement that exists and/or uphold the rights of employees when they are attempting to organize.    | Accountability<br><br>Human Resource Management<br><br>Technical Credibility | <ul style="list-style-type: none"> <li>• Deal with representatives of bargaining unit on matters involving employees.</li> <li>• Act as a liaison between workers and management to facilitate organizational progress.</li> </ul> | <ul style="list-style-type: none"> <li>• Labor Management Relations in general.</li> <li>• Specific knowledge of any binding agreements impacting the workplace.</li> <li>• Labor Agreement Information Retrieval System (LAIRS).</li> </ul>   |
| Supervisor will make decisions regarding employee leave, coverage for leave, approval and administration of overtime for staff in accordance with all regulations and policies.                              | Decisiveness<br><br>Human Resource Management<br><br>Technical Credibility   | <ul style="list-style-type: none"> <li>• Control attendance and leave, including approval of sick and annual leave.</li> </ul>   | <ul style="list-style-type: none"> <li>• Leave Administration.</li> <li>• Pay Administration.</li> <li>• FLSA.</li> <li>• FMLA.</li> <li>• Work Schedule Flexibilities including reasonable accommodations for people with disabilities and for religious affiliations.</li> <li>• Federal Wage System.</li> </ul> |
| Given workforce/workplace injuries/accidents, the supervisor completes accident/incident reports and Worker's Compensation claim forms and facilitates the employee's return to duty as quickly as possible. | Human Resource Management<br><br>Technical Credibility                       | <ul style="list-style-type: none"> <li>• Promotes Safety.</li> <li>• Conducts risk assessments.</li> <li>• Conducts accident investigations.</li> <li>• Reports accidents using SMIS/OWCP documents.</li> </ul>                    | <ul style="list-style-type: none"> <li>• DOI and Bureau Specific Safety Program.</li> <li>• Accident/Incident Reporting.</li> <li>• Worker's Compensation Program.</li> <li>• Risk Assessment.</li> <li>• Bureau Safety Program.</li> <li>• Legal Liabilities.</li> </ul>  |

**Phase II:**

| Training Objectives  | Competency <sup>5</sup>  | Behavioral Examples <sup>6</sup>   | Suggested Training Topics <sup>7</sup>   |
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| <p>Given feedback from management, peers, subordinates and others, the supervisor is able to develop a professional growth plan that is focused on developing supervisory and leadership skills.</p>   | <p>Continual Learning<br/><br/>Technical Credibility<br/><br/>Interpersonal Skills</p> | <ul style="list-style-type: none"> <li>• Maintain a high level of professional expertise.</li> <li>• Invest time and energy in self-development and growth.</li> <li>• Maintain communication network with others for self-learning and growth.</li> <li>• Establish networks with key individuals or groups.</li> </ul> | <ul style="list-style-type: none"> <li>• IDP Development and Approval Process.</li> <li>• 360° Assessment of Leadership Skills.</li> <li>• How to Use Feedback Effectively.</li> <li>• OPM’s 28 Competencies.</li> <li>• Position/Job Series specific competencies.</li> </ul>   |
| <p>Given a conflict situation involving the supervisor and a stakeholder or an employee-to-employee conflict, the supervisor is able to manage the situation in a constructive manner and seeks out assistance as needed in keeping with organizational policies, procedures, and standards.</p> | <p>Conflict Management<br/><br/>Decisiveness<br/><br/>Interpersonal Skills</p>         | <ul style="list-style-type: none"> <li>• Resolve problems and reach workable solution among parties.</li> </ul>  | <ul style="list-style-type: none"> <li>• Conflict Resolution Techniques.</li> <li>• Alternative Dispute Resolution Program.</li> <li>• Employee Assistance Program.</li> <li>• Mediation Techniques.</li> </ul>  |
| <p>Given the need to provide products and services to internal and external customers, the supervisor will seek continuous improvement in the quality of services, products, and processes</p>   | <p>Customer Service<br/><br/>Partnering</p>  | <ul style="list-style-type: none"> <li>• <i>Collaborate with clients, including people with disabilities and other underserved populations to identify their expectations.</i></li> <li>• Anticipate the needs of clients.</li> <li>• Work with clients to set standards for services and</li> </ul>                     | <ul style="list-style-type: none"> <li>• Customer Service Standards.</li> <li>• ID Internal and External Customers.</li> <li>• Methods for Identifying Customer Needs.</li> <li>• Dealing with Difficult Customers.</li> <li>• Strategies for Improving Customer Service Processes.</li> <li>• Continuous improvement</li> </ul> |

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|  |                                | <p>products.</p> <ul style="list-style-type: none"> <li>• Integrate client expectations into the delivery process for services or products.</li> <li>• Encourage regular communication with clients to ensure their needs are met.</li> <li>• Use client feedback system to evaluate delivery of services.</li> <li>• Train employees in client interaction techniques.</li> <li>• Awareness of program accessibility requirements.</li> </ul>   | <p>strategies.</p> <ul style="list-style-type: none"> <li>• Modification of Customer Services to meet the needs of customers with disabilities.</li> <li>• Collaboration with customers.</li> </ul> |
| <p>Given work-related challenges or tasks and situations requiring buy-in and/or approval, the supervisor will apply power, authority, and influence to build support and/or consensus for achieving organizational goals.</p> | <p>Influencing/Negotiating</p> | <ul style="list-style-type: none"> <li>• Seek opportunities to move the organization toward future goals.</li> <li>• Identify and use power sources to facilitate goal attainment.</li> <li>• Negotiate with internal or external groups to facilitate program implementation.</li> <li>• Obtain support from superiors before taking critical action.</li> <li>• Gain support of key individuals to ensure goal accomplishment.</li> <li>• Market work plans to higher management to gain their support.</li> </ul> | <ul style="list-style-type: none"> <li>• Influencing Skills.</li> <li>• Sources of Power.</li> <li>• Handling Objections.</li> <li>• Active Listening.</li> </ul>                                   |

**Phase II:**

| <b>Training Objectives</b>  | <b>Competency<sup>5</sup></b>   | <b>Behavioral Examples<sup>6</sup></b>  | <b>Suggested Training Topics<sup>7</sup></b>  |
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| <p>Given the normal activities of a first level supervisor, the supervisor demonstrates communication skills that facilitate an open exchange of ideas and build relationships.</p> | <p>Interpersonal Skills<br/><br/>Oral Communication</p>                         | <ul style="list-style-type: none"> <li>• <i>Treats employees and others with respect, caring, and courtesy.</i></li> <li>• <i>Maintains an open door policy.</i></li> <li>• <i>Exhibits tact and restraint in difficult situations.</i></li> <li>• <i>Maintains effective working relationships with direct reports, peers, higher management and customers.</i></li> </ul>   | <ul style="list-style-type: none"> <li>• Communication Model.</li> <li>• Barriers to Communication.</li> <li>• Active Listening.</li> <li>• Communication styles assessment.</li> </ul>                                     |
| <p>Given new information or changing conditions, unexpected obstacles, and/or ambiguity in the work environment, the supervisor recovers quickly and maintains focus.</p>           | <p>Resilience<br/><br/>Flexibility<br/><br/>Technical Credibility</p>           | <ul style="list-style-type: none"> <li>• Implement new or revised programs and policies.</li> <li>• Adjust work/action plans as a result of budget changes.</li> <li>• Adjust work schedules to meet changing priorities.</li> <li>• Establish a balance among competing objectives to accomplish overall organizational goals.</li> <li>• Keep abreast of key agency policies and priorities likely to affect the program area.</li> </ul> | <ul style="list-style-type: none"> <li>• Current issues and hot topics in the Department and/or agency.</li> <li>• Change Management.</li> <li>• How to Prioritize Work.</li> <li>• Stress Reduction Techniques.</li> </ul> |
| <p>Given the oral communication requirements associated with supervision, the supervisor is able to express facts or ideas in a clear and organized manner that</p>                 | <p>Oral Communication<br/><br/>Technical Credibility<br/>Service Motivation</p> | <ul style="list-style-type: none"> <li>• Make oral presentations to higher management or outside organizations.</li> <li>• Conduct briefings or other meetings.</li> </ul>  | <ul style="list-style-type: none"> <li>• Presentation Skills.</li> <li>• Briefing Skills.</li> <li>• Awareness of requirements and options for communicating with</li> </ul>  |

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| <p>is appropriate to the audience and purpose of the presentation.</p>   |  | <ul style="list-style-type: none"> <li>• Explain significant goals, activities, policies, and procedures to direct reports.</li> <li>• Discuss management practices with staff.</li> <li>• Communicate the organization's vision and mission to staff.</li> <li>• Inform direct reports about developments and their impact on organizational activities.</li> <li>• Explain and defend management's policies or practices.</li> <li>• Inform higher-level management of program developments.</li> </ul> | <p>the disabled.</p>   |
| <p>Given the written communication requirements associated with supervision, the supervisor is able to express facts or ideas in a clear and organized manner that is appropriate to the audience and purpose of the document.</p> | <p>Written Communication<br/>Human Resource Management<br/>Technical Credibility</p> | <ul style="list-style-type: none"> <li>• Establish clear and concise policies and guidelines for program area.</li> <li>• Develop procedures for evaluating work products.</li> <li>• Present cost/benefit estimates of projects or programs to higher management.</li> <li>• Present data in a clear and organized format.</li> </ul>  | <ul style="list-style-type: none"> <li>• Department and/or Bureau Correspondence Guidelines.</li> <li>• Technical Writing Skills.</li> <li>• Plain Language Guidelines.</li> </ul> |

**Phase II:**

| Training Objectives   | Competency <sup>5</sup>   | Behavioral Examples <sup>6</sup>  | Suggested Training Topics <sup>7</sup>  |
|---|---|---|---|
| <p>Given the supervisor's work unit and the various programs and options available to promote employee health and well being, the supervisor is able to create a work environment that maximizes flexibility and minimizes stress.</p>  | <p>Flexibility<br/><br/>Human Resource Management<br/><br/>Interpersonal Skills</p> | <ul style="list-style-type: none"> <li>• Adjust work schedules to accommodate employee's personal and work needs.</li> <li>• Make us of Department, Bureau, or Local Work/Life Programs to benefit employees.</li> <li>• Sponsor a Health Fair for employees.</li> </ul>  | <ul style="list-style-type: none"> <li>• DOI and Bureau Work/Life Programs.</li> <li>• Alternative Work Schedules.</li> <li>• Stress Management.</li> </ul>   |
| <p>Given the activities of a first level supervisor, the supervisor will be able to clearly state the problem or issue, identify and involve stakeholders in the decision-making process, identify alternatives and evaluate them against criteria, select and implement the best alternative(s), and evaluate the results.</p> | <p>Problem Solving<br/><br/>Decisiveness<br/><br/>Technical Credibility</p>         | <ul style="list-style-type: none"> <li>• Monitor programs to identify problems.</li> <li>• Analyze potential organizational problems for changing situations.</li> <li>• Take corrective action when problems arise.</li> <li>• Involve relevant people in decision-making.</li> <li>• Ask questions to clarify issues.</li> <li>• Obtain relevant information before making a decision.</li> <li>• Analyze diverse viewpoints to make planning decisions and solve work problems.</li> <li>• Assess the various aspects of a problem.</li> <li>• Recommend solutions to critical or sensitive problems.</li> </ul> | <ul style="list-style-type: none"> <li>• Problem Solving Model.</li> <li>• Decision making Fundamentals.</li> <li>• Consensus Building Techniques.</li> </ul> |

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|  |  | <ul style="list-style-type: none"><li>• Encourage staff to make innovative approaches to problem solving.</li></ul> |  |
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<sup>1</sup> Although many competencies may be partially covered in any given objective, we have limited the list to the primary 3-4 competencies for each objective.

<sup>2</sup> Behavioral examples are taken from OPM's HR Manager except for those written in *italics*, which were taken or modified from other documents.

<sup>3</sup> This list of training topics is not exhaustive and latitude is given to make minor adjustments to the supervisory training program, while maintaining the integrity of a comprehensive development program that covers broad areas of supervisory responsibility.

<sup>5</sup> Although many competencies may be partially covered in any given objective, we have limited the list to the primary 3-4 competencies for each objective.

<sup>6</sup> Behavioral examples are taken from OPM's HR Manager except for those written in *italics*, which were taken or modified from other documents.

<sup>7</sup> This list of training topics is not exhaustive and latitude is given to make minor adjustment to the supervisory training program, while maintaining the integrity of a comprehensive development program that covers broad areas of supervisory responsibility.