

***DLA New Supervisor  
Certification Program Guide***

**Developed, administered, and presented by  
Defense Logistics Agency  
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IN REPLY  
REFER TO J-1

MAR 23 2004

MEMORANDUM FOR NEW DLA PROBATIONARY SUPERVISORS

SUBJECT: Welcome Letter

Congratulations on your new assignment to a Defense Logistics Agency (DLA) supervisory position. I welcome you as a new and valued member of the DLA Leadership Team.

I believe that the role you now assume is the key to our future. It is you who will set in motion the operational changes that transform the way we do business as we reshape our organizational culture and raise the DLA workforce of tomorrow. Your contributions will make our vision and values real, fulfill our mission, and help preserve DLA's world-class reputation.

I pledge my support to you as the newest member of the DLA Leadership Team and remain committed to your successful leadership development. As a new DLA leader, you will participate in the DLA New Supervisor Certification Program. This program is a 2-year developmental opportunity that will provide you the training and support to 1) establish and build your foundation of leadership skills and abilities and 2) provide you with the guidance to develop and accomplish your role as one of DLA's finest.

I am proud to have you on DLA's Leadership Team. I know the DLA New Supervisor Certification Program will help you to successfully begin your journey in this exciting and challenging chapter in your career.

A handwritten signature in cursive script that reads "Mary L. Saunders".

MARY L. SAUNDERS  
Major General, USAF  
Vice Director

## **DLA New Supervisor Certification Program**

### **Background**

#### **Introduction**

In January 2001, the Office of Personnel Management (OPM) Office of Merit Systems Oversight and Effectiveness (OMSOE) issued a report entitled “Supervisors in the Federal Government: A Wake-Up Call.” This landmark report, found at [www.opm.gov/perform/articles/2001/sum01-4.htm](http://www.opm.gov/perform/articles/2001/sum01-4.htm), assessed efforts in Federal agencies to select, develop, and evaluate first-level supervisors. Numerous other studies related to leadership and development have been released by the Merit Systems Protection Board and General Accounting Office. Studies accomplished by such research firms as the Corporate Leadership Council indicate similar findings in both the private and public sectors.

#### **Findings**

Findings of the studies reveal the following:

- Organizations need to do a better job of selecting and developing first-level supervisors and should focus their efforts around the competencies that supervisors need to be successful.
- Because many supervisors do not come to the job with leadership competencies, adequate development that is timely and in sufficient quantity and quality is critical.
- Supervisors need more and better development in basic leadership skills that includes training tailored to their individual needs.
- People-management skills are most important for successful leadership.
- Feedback and relationship-based development programs (such as peer networking and coaching) are highly effective.
- The supervisor probationary period needs to include regular feedback on how to strengthen performance. Managers must identify and act upon situations in which new supervisors have not demonstrated the competencies required for successful leadership performance.

#### **DLA climate/culture surveys**

Summary results from successive DLA climate surveys and the Denison culture survey indicate a need for additional support and development of supervisors. Particular areas of focus include skills utilization, skills development, communication, and trust. In addition, exit surveys of employees leaving DLA indicate that quality of supervision/leadership issues have and continue to be major drivers of employee turnover in the Agency.

## **Solutions**

### **New approaches**

DLA needs more aggressive and focused leader development action and accountability. Development must focus on leadership at all levels, from supervisors (those who supervise nonsupervisors), to managers (those who supervise supervisors), to executives (those who supervise managers). All are supervisors, and all are leaders.

DLA leadership must:

- Consider leader development as a top priority and become an active partner in the transition and training of new supervisors.
- Assess progress throughout the supervisor probationary period and provide regular feedback.
- Plan for the continued development along the leadership continuum if performance is satisfactory.
- Remove individuals from supervision during the probationary period if performance is less than satisfactory.

### **Agency solution**

The DLA New Supervisor Certification Program (herein referred to as the Supervisor Certification Program) is an integral part of the enterprise leader development strategy. The Supervisor Certification Program provides targeted and systematic support and training to successfully transition newly appointed supervisors into leadership positions within the Agency. The basis of the Supervisor Certification Program, implemented in April 2004, is the concept of “One Message, One Focus, One DLA Leadership Team.”

Completion of the Supervisor Certification Program requirements indicates that an individual has established the foundation of knowledge desired by the Agency for new leaders.

## **Goals**

The goals of the Supervisor Certification Program are as follows:

- To provide the same developmental opportunities for all new DLA supervisors, with inclusion of self-development opportunities that each new supervisor can tailor to his or her particular leadership needs.
- To provide a planned progression of development, with basic leadership knowledge and skills introduced and expanded throughout a phased approach (building block concept).
- To ensure integration of supervisory development with other Agency initiatives (Business Systems Modernization, Enterprise Leader Development, Culture Transformation), with emphasis and focus on leadership competencies that are linked to the DLA Strategic Management System. This lends purpose and direction to the supervisory development.
- To utilize the supervisor probationary period as the next step in the “selection process,” with further development of demonstrated leadership attributes/capabilities, leading to a deliberate decision as to whether or not the Agency continues a new supervisor in a leadership role.
- To view leadership development as a continuum, with both short and long-term goals for competency development, applicable from those who aspire to be leaders to those at the senior executive level.

## **Policies**

Basic policies of the Supervisor Certification Program are as follows:

- Organizations and managers will give priority attention to the transition of new supervisors and the development of basic leadership skills.
- New supervisors will be allotted sufficient duty time during the Supervisor Certification Program period to complete all developmental requirements.
- Completion of Supervisor Certification Program developmental activities for Phases 1 and 2 are required for satisfactory completion of the supervisor probationary period.
- The Supervisor Certification Program will apply only to supervisors newly assigned to a supervisor probationary period beginning April 1, 2004.
- Developmental requirements and the ability to obtain certification do not apply to supervisors appointed prior to April 1, 2004.
- A new supervisor who is serving a temporary promotion/appointment of only 1 year is required to complete Phases 1 and 2 of the Supervisor Certification Program. Upon permanent appointment to a supervisory position, the individual will complete Phases 3 and 4 of the Supervisor Certification Program.
- All requirements of the Supervisor Certification Program will be completed within 2 years of the effective date of a new supervisor's probationary period. Extensions of up to 6 months may be approved on a limited, case-by-case basis as warranted by extenuating circumstances.
- Completion of Supervisor Certification Program requirements will be acknowledged by a certificate and plaque that is presented publicly in a local recognition forum/ceremony.
- Developmental requirements outlined in the Supervisor Certification Program are in addition to any other agency or organizational required training, such as annual ethics training, information security training, safety training, etc.
- With the exception of individualized self-development electives (the costs of which will be borne by the new supervisor's organization), all costs associated with Supervisor Certification Program requirements will be centrally funded by the Agency.
- Probationary supervisors will be provided with the opportunity to telework in order to focus on and complete Supervisor Certification Program requirements, subject to approval by the manager/approving official.
- If a new supervisor is taken out of a supervisory position during the probationary period, and subsequently assigned to a supervisory position later, the individual will be required to complete all Supervisor Certification Program requirements, to include any required courses already taken during the initial probationary assignment.

## **Features**

### **Learning strategies**

The Supervisor Certification Program integrates a number of learning strategies that meet the needs of adult learners with varying learning styles.

### **Key features**

Key features of the program include the following:

- Integration of the various competencies models utilized within DLA:
  - DLA managerial/leadership competencies for supervisory performance evaluation
  - OPM leadership competency model
  - Denison leadership competencies for supervisor/leader multi-source feedback assessment
- Training and developmental activities that target leadership competencies of critical importance to direct-line supervisors, e.g., people-management skills and human resources management.
- Support and assistance to the new supervisor as he or she transitions into a supervisory role via new supervisor sponsors, one-on-one professional coaching, and peer coaching.
- Various leadership assessment tools to help the new supervisor discover and better understand his or her leadership styles, strengths, and areas for growth.
- Blended learning opportunities that include formal classroom training, on-line training, individualized self-development opportunities, and other types of learning activities.



## Roles and Responsibilities

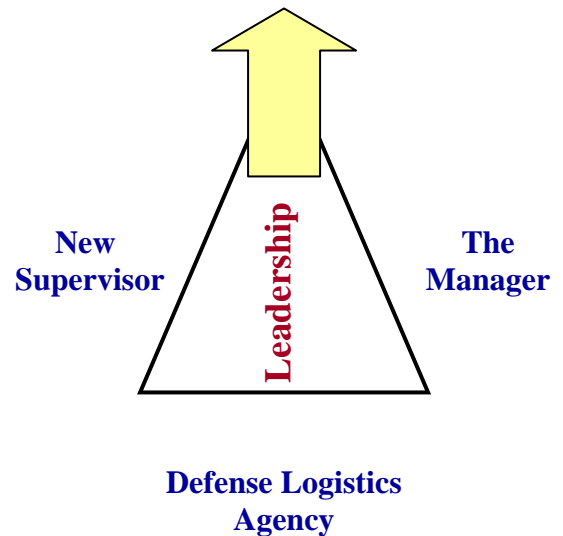
### Partnership

The Supervisor Certification Program represents a partnership between

- DLA and each newly appointed supervisor, and
- the new supervisor and his or her manager.

All parties must work together to ensure that

- the goals of the Supervisor Certification Program are accomplished, and
- leader development of the new supervisor is a mission-essential priority during the 2-year Supervisor Certification Program period.



### Agency responsibilities

DLA has these responsibilities:

- Make the development of new supervisors a mission-essential priority.
- Provide on-going program management and centralized funding that adequately covers required developmental components of the Supervisor Certification Program.
- Notify new supervisors upon their appointment to a supervisor probationary period of the requirements of the Supervisor Certification Program.
- Educate newly appointed supervisors and DLA leadership on Supervisor Certification Program details, to include conducting regular orientation sessions for Supervisor Certification Program participants and managers.
- Arrange for learning activities that are centrally managed (i.e. Orientation, Ninth House Network, Applied Human Resources Management (HRM), Leadership Education and Development (LEAD), coaching, peer coaching, multi-source feedback, sponsor) to meet the needs of all Supervisor Certification Program participants and maintain an annual training calendar.
- Periodically review components and administration of the Supervisor Certification Program and modify or adjust as required to reflect current and future enterprise leader development needs.

## **Roles and Responsibilities, Continued**

### **Managers' responsibilities**

Managers of new supervisors have these responsibilities:

- Make the development of each new supervisor a mission-essential priority and ensure the satisfactory completion of all Supervisor Certification Program requirements.
- Collaborate with the new supervisor to schedule required developmental activities and plan for individualized self-development electives.
- Assist the new supervisor in managing workload and delegating assignments so that all requirements of the Supervisor Certification Program are met during the 2-year Certification period.
- To the degree possible, support the new supervisor in the use of telework for completing Certification requirements that can be accomplished away from the worksite.
- Monitor the progress of the new supervisor and provide regular coaching and feedback on ways to build and strengthen leadership competencies.
- Accomplish quarterly progress reviews during the supervisor probationary period and the final assessment at the end of the probationary period.
- Remediate deficient supervisor performance to a satisfactory level, or remove individual from a supervisory position prior to the end of the probationary period if performance remains deficient in any DLA managerial/leadership competency.

### **New supervisors' responsibilities**

New supervisors have these responsibilities:

- Make your development as a new supervisor a priority and ensure the satisfactory completion of all Supervisor Certification Program requirements.
- Plan, schedule, and accomplish developmental activities in accordance with the requirements and phases outlined in the Supervisor Certification Program Guide.
- Keep the manager apprised of progress in completing Supervisor Certification Program requirements and together brainstorm options for overcoming any obstacles that may be encountered.
- Collaborate with the manager in identifying, planning, and accomplishing required individualized self-development electives.
- Discuss with the manager your leadership goals and developmental strategies for accomplishing those goals.
- Fully participate in all developmental activities required by the Supervisor Certification Program, challenge your assumptions, and expand your support network of peers.

## **Supervisor Probationary Period Regulation**

### **Mandatory probation**

The Code of Federal Regulations (Title 5, Chapter I, Part 315, Subpart I, Section 315) and 5 U.S.C. 3321 provide for a 1-year probationary period before initial appointment as a supervisor or manager becomes final. The supervisor probationary period is considered to be an extension of the selection process. It bridges the supervisory potential an individual has demonstrated and the leadership performance that the supervisory job requires. You can find instructions on DLA's implementation of the supervisor probationary period in the One Book, "Human Capital Management, Probationary Period for New Supervisors/Managers" at the following Internet address: <https://today.dla.mil/onebook/process/231.htm>.

### **Benefits**

The supervisor probationary period allows the:

- new supervisor to accomplish required developmental training and learning activities;
- new supervisor's manager to observe performance over an extended period and provide regular feedback for the continuous growth of the new supervisor's leadership competencies; and
- organization to ensure that only individuals who demonstrate satisfactory supervisory performance are retained in supervisory positions after the probationary period ends.

## **Supervisor Probationary Period—First 30 Days**

### **New Supervisor Probationary Appointment Letter**

The DLA Training Center sends the appointment letter and Supervisor Certification Program Guide to the new supervisor and his or her manager following the effective date of the appointment to a supervisor probationary period.

The probationary supervisor and his or her manager complete and sign a receipt acknowledgement memorandum. They fax this signed memorandum to the DLA Training Center.

### **New Supervisor and Manager Partnering Agreement**

The purpose of the New Supervisor and Manager Partnering Agreement is to

- outline the roles and responsibilities of both new supervisor and manager during the 2-year Supervisor Certification Program, and
- facilitate the discussion on expectations and requirements of both new supervisor and manager during the Certification period.

The Partnering Agreement is completed and signed by both the new supervisor and his or her manager within the first 30 days of the new supervisor's appointment. It is then revisited during each quarterly progress review discussion of the probationary period. A template Partnering Agreement is included in the Supervisor Certification Program Guide. (See appendix A.)

### **Position Description, Performance Standards, and Individual Development Plan**

The manager provides and discusses the position description and performance standards with the new supervisor within 30 days of the appointment effective date. The manager and new supervisor finalize and sign an individual development plan (IDP) that covers the first year of the Supervisor Certification Program during this same 30-day timeframe. (See appendix B1 for template.)

## **Supervisor Probationary Period—On-Going Reviews and Completion**

### **Quarterly Progress Review Discussions**

According to the DLA One Book Chapter, “Probationary Periods for New Supervisors/Managers,” managers are to hold quarterly progress review discussions with probationary supervisors during the first year of appointment. A progress review template is included for documentation of each review discussion, conducted at the end of the first 3 months, 6 months, 9 months, and 12 months. (See appendix C.) During each progress review, the new supervisor and manager should address the New Supervisor and Manager Partnering Agreement to assess any items that require clarification or additional information.

### **Probationary Period Assessment**

Prior to the end of the 1-year probationary period, managers will complete an assessment of the probationary supervisor’s performance. (See appendix D.) This assessment certifies satisfactory performance of supervisory duties, completion of first year Supervisor Certification Program requirements, and retention of the individual in a supervisory position upon completion of the probationary period.

The DLA Training Center forwards this assessment to the new supervisor and his or her manager at approximately the 10<sup>th</sup> month of the probationary period. The manager must indicate whether the probationary supervisor’s performance is satisfactory or not satisfactory and return the assessment to the DLA Training Center before the end of the probationary period. The DLA Training Center files the signed assessment in the new supervisor’s official personnel folder.

Upon completion of the probationary period assessment, the new supervisor and manager will finalize and sign an IDP for the second year of the Supervisor Certification Program. (See appendix B2 for template.)

### **Satisfactory completion of the probationary period**

Satisfactory completion of the probationary period for new DLA supervisors is dependent upon the following factors:

1. Satisfactory performance of supervisory duties (i.e. demonstrates “solid performance” in all DLA managerial/leadership competencies)
2. Successful completion of all Phase 1 and 2 developmental requirements outlined for the Supervisor Certification Program:
  - All DLA On-Line Human Resources Management Training
  - DLA Applied Human Resources Management for Supervisors Course
  - Leadership Education and Development Course

### **Failure to complete requirements**

New supervisors who demonstrate less than satisfactory performance of supervisory duties or who fail to complete required Phase 1 and 2 developmental requirements, must be removed from their supervisory position prior to the end of the probationary period. Managers must immediately coordinate with their servicing employee relations specialist as soon as a concern arises regarding a probationary supervisor’s performance.

## Supervisor Certification Program Phases

### Overview

The Supervisor Certification Program extends for 2 years, beginning with the effective date of a new supervisor's appointment to a supervisor probationary period. The Certification period consists of four phases, with specific learning requirements assigned to each phase. The total amount of training required in the 2-year program is 146 hours.

Learning activities are designed to build a solid foundation of leadership skills and abilities, as described and measured by the DLA managerial/leadership competencies and Denison leadership competency model. (See appendix E for definitions.)

### Requirements by phase

The following table lists the required training:

<b>Phase</b>	<b>Time Period</b>	<b>Hours of Training Requirements</b>
<b>1</b>	First 90 days of appointment	14 hours
<b>2</b>	3 months—12 months	80 hours
<b>3</b>	12 months—18 months	28 hours
<b>4</b>	18 months—24 months	24 hours
<b>Total</b>	<b>2-year program</b>	<b>146 hours</b>

## Detailed List of Required Developmental Components

### Phase 1: First 90 days following appointment

- Initial Probationary Appointment Requirements <sup>1</sup>
  - Appointment Letter
  - Partnering Agreement
  - Position Description
  - Performance Standards
  - First Year Supervisor Certification Program IDP
  - Quarterly Progress Review Discussions begin
- New Supervisor's Toolkit
- Certification Orientation—2 hours
- DLA On-Line HRM Modules—12 hours

### Phase 2: 3 months—12 months

- DLA Applied HRM for Supervisors Course—40 hours
- LEAD Course and Assessments—40 hours
- Quarterly Progress Review Discussions, continued
- Probationary Period Assessment

### Phase 3: 12 months—18 months

- Second Year Supervisor Certification Program IDP
- One-on-One Coaching—4 hours
- Ninth House Network—24 hours (continue in Phase 4)
- Peer Coaching Introduced (voluntary participation, continue in Phase 4)
- Serve as New Supervisor Sponsor (continue in Phase 4)

### Phase 4: 18 months—24 months

- Ninth House Network, continued
- Individualized Self-Development Electives—24 hours
- Peer Coaching, continued
- Serve as New Supervisor Sponsor, continued
- Multi-Source Feedback Assessment
- Post-Certification IDP

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<sup>1</sup> These are items discussed previously in the Supervisor Certification Program Guide section on Supervisor Probationary Period.

## Description of Development and Learning Requirements Phase 1

### New Supervisor's Toolkit (Phase 1)

The DLA Training Center sends this package to the new supervisor upon appointment to a supervisor probationary period. It includes a number of resources to help jumpstart the new supervisor's transition into a leadership role, such as the DLA Strategic Plan, DLA Communication Plan, New Supervisor Checklist, DLA Supervisor Handbook, and other helpful guides.

### Supervisor Certification Program Orientation (Phase 1, 2 hours)

The DLA Training Center presents the Supervisor Certification Program Orientation monthly. Participants include both new supervisors and their managers. Participants access briefing slides through the Internet and at the same time call a teleconference number to engage in a live discussion.

The orientation facilitator reviews all of the phases and requirements for certification and answers any questions that participants have regarding the program. A new supervisor and his or her manager should participate in the next monthly orientation session following the new supervisor's probationary period effective date. (Attendance is optional for managers who have already attended an orientation session for previously appointed new supervisors.)

Special teleconference sessions will be scheduled as needed to meet the needs of new supervisors located outside the continental U.S. (OCONUS) or others who are unable for technical reasons to participate in the Internet-based sessions.

### DLA On-Line HRM Modules (Phase 1, 12 hours)

These on-line modules present basic concepts and regulatory information on Federal civilian HRM. Currently, there are 13 modules in the course, ranging in duration from 15 minutes to 1 hour each that address the following subject matter areas:

- Attendance and Leave
- Career Planning and Development
- Classification
- Conduct and Discipline
- Workplace Violence Prevention
- Drug Testing
- Fair Labors Standards Act
- Incentive Awards and Motivation
- Injury Compensation
- Merit Promotion
- Merit Systems Principles
- Performance Management
- Reduction in Force

### Important note

The on-line training modules are located at <http://www.hr.dla.mil/> (see "Training" section, click on "DLA On-Line HRM Training"). Completion of all modules is required as a prerequisite for the DLA Applied HRM for Supervisors Course.



## **Description of Development and Learning Requirements Phase 2**

### **DLA Applied HRM for Supervisors Course (Phase 2, 40 hours)**

This 5-day course, sponsored by the DLA Training Center, builds upon and expands the basic Federal civilian HRM concepts and information introduced in the DLA On-Line HRM modules. Through lecture, individual exercises, group discussion, case studies, and role-playing, supervisors understand their roles and responsibilities in managing human resources. Students apply HRM concepts in the problem solving and resolution of real world HRM challenges and issues. Course content and individual activities focus on all human resources management functional areas.

The DLA Training Center will ensure that a sufficient number of course sessions are scheduled each year to meet attendance demands of all Supervisor Certification Program participants. Probationary supervisors and military will be provided with first priority for course attendance; any remaining spaces will be offered to seasoned supervisors who have never had formal HRM training or who need a refresher. Session locations will be rotated between various DLA activities, to include OCONUS sites. All classes are open to any DLA probationary supervisor and neither targeted nor limited to students who are geographically located where the class is conducted (except OCONUS sessions, which are open only to OCONUS DLA employees).

### **Important note**

Prerequisite for attendance at DLA Applied HRM for Supervisors is completion of all DLA On-Line HRM Modules. DLA Applied HRM for Supervisors is not a prerequisite for the LEAD course; however, the Applied HRM course should be taken prior to LEAD if possible.

### **Leadership and Education Development Course and Assessments (Phase 2, 40 hours)**

This 5-day highly interactive course, sponsored by the DLA Training Center, develops and hones fundamental leadership skills of supervisors. Through individual and group exercises, role-playing, leadership assessment instruments, and other experiential activities, students gain the following skills:

- Assess own effectiveness.
- Assess employee and team effectiveness.
- Motivate and influence employees.
- Communicate effectively.
- Conduct counseling.
- Manage conflict.
- Develop strategies to create fully functioning teams.
- Make effective decisions.
- Explain the effect of values on individual and team effectiveness.

## Description of Development and Learning Requirements Phase 2, Continued

### Leadership and Education Development Course and Assessments (Phase 2, 40 hours), continued

LEAD topics include:

- Leadership Defined
- Situational Leadership
- Motivation
- Communication
- Counseling Skills
- Conflict Management
- Group Development Theory
- Team Building
- Problem-Solving and Decision-Making
- Values and Ethics

### LEAD Sessions

The DLA Training Center will ensure that a sufficient number of course sessions (targeted solely for DLA probationary supervisors) are scheduled each year to meet attendance demands of all Supervisor Certification Program participants. LEAD sessions for Supervisor Certification Program participants will be specifically sponsored and taught by DLA Training Center instructors at the DLA Training Center in Columbus, Ohio. This will facilitate additional networking opportunities between new DLA supervisors from across the Agency. Probationary supervisors will be provided with first priority for course attendance, with any remaining spaces filled by DLA supervisors not included in the Supervisor Certification Program.

## Description of Development and Learning Requirements Phase 3 (Continued into Phase 4)

### One-on-One Coaching (Phase 3, 4 hours)

Each new supervisor in the Supervisor Certification Program is provided with 4 hours of confidential, individual consultation with a professional coach. The coach is an outside vendor and contracted by the DLA Training Center. He or she provides advice and assistance to the new supervisor in the leadership transitioning process and establishment of developmental goals. The DLA Training Center will manage the one-on-one coaching program and coordinate arrangements with each new supervisor as he or she enters Phase 3 of the Certification period. Typically, consultations will occur in 1-hour increments and may be accomplished in person and/or by telephone. Special arrangements will be made for OCONUS new supervisors.

### Ninth House Network (NHN) (Phases 3–4, 24 hours)

Each new supervisor in the Supervisor Certification Program has a 1-year license to NHN. The DLA Training Center will automatically order a license for each new supervisor as he or she enters Phase 3 of the Certification period. A DLA NHN Learner's Manual will accompany a set of NHN NetCD discs sent to each Certification participant by the DLA Training Center.

NHN provides a cost-effective, accessible, and continuous learning experience focused on today's most critical business and leadership issues. Programs are highly interactive, engaging, and accessible through the Internet. There are currently over 36 hours of training available from NHN (14 programs and 7 ESeries episodes), ranging in length from 30 minutes to over 6 hours.

New supervisors at OCONUS sites who experience technical difficulties or limitations in accessing NHN will be provided with a different, yet comparable on-line or correspondence training opportunity.

### Required NHN programs

The following 10 programs are required for completion of the Supervisor Certification Program. New supervisors may complete these 24 hours in any order during Phases 3–4.

- Situational Leadership (6 hours)
- High Impact Hiring (2 hours)
- Resolving Interpersonal Issues (2½ hours)
- Building Community (2½ hours)
- Reframing Change (½ hour)
- Managing Change (1½ hours)
- Navigating Change (1½ hours)
- Forging Breakthroughs (3 hours)
- Partnering for Results (2 hours)
- Optimizing Team Performance (2½ hours)

### Important note

Other NHN programs may also be completed and training hours applied against the individualized self-development elective requirement. In fact, new supervisors are encouraged to complete all NHN programs and ESeries episodes, applying 24 credits to meet the NHN requirement, and an additional 12 hours toward the individualized self-development elective requirement.

## **Description of Development and Learning Requirements Phase 3, Continued**

### **Peer Coaching (Phases 3-4, Voluntary Participation, Up to 24 Hours)**

Peer coaching is voluntary, with hours contributing to the individualized self-development elective requirement (up to 24 required hours, see Phase 4). The DLA Training Center will solicit interest of new supervisors entering Phase 3 of the Supervisor Certification Program. Interested new supervisors will be assigned to small groups to learn coaching skills from a professional coach.

Group members will then engage in informal peer coaching with other new supervisors over approximately 9 months. Coaching may be accomplished in-person, through teleconferencing, and/or through video teleconferencing. This will further networking opportunities and peer support.

### **Serve as New Supervisor Sponsor (Phases 3-4)**

During the second year of the Supervisor Certification Program, each new supervisor will serve as a temporary sponsor to a newly appointed probationary supervisor (i.e. someone just entering the Supervisor Certification Program). The DLA Training Center will coordinate matches and notify both sponsor and newly appointed supervisor. The sponsor assignment will extend for approximately 90 to 120 days. The purpose of the sponsor relationship is to relay general information on the Supervisor Certification Program and be an informal source of support to the probationary supervisor as he or she transitions into a leadership role. More detailed information on the sponsor program will be provided to Certification participants when sponsor matches are made.

## Description of Development and Learning Requirements Phase 4

### Individualized Self-Development Electives (Phase 4, 24 hours)

During the last 6 months of the Supervisor Certification Program, new supervisors will complete 24 hours of individualized self-development electives that focus on leadership topics. Together with his or her manager, each new supervisor will determine which managerial/leadership competencies to focus on based upon the new supervisor's developmental needs and the goals of the organization. The new supervisor and manager will then determine learning activities/strategies to meet those needs/goals. The new supervisor and his or her manager should have this discussion prior to beginning Phase 4 of the Certification period.

Self-development electives may include cost and/or no cost activities; those that involve a cost will be approved and funded by the new supervisor's organization. Guidelines for Crediting Continuous Learning Leadership Activities will be utilized in crediting self-development electives. (See appendix F for guidelines.) Both new supervisor and manager must reach agreement on the amount of time/hours credited for each developmental activity.

### Types of learning activities

The 24-hour requirement may include any combination of the following, as related to leadership topics and competencies:

- Formal classroom training
- Participation in peer coaching
- Providing or receiving mentoring (informal or formal)
- Continued work in NHN
- On-line training provided by the Government on-line learning center ([www.golearn.gov](http://www.golearn.gov))
- Other sources of on-line training
- Attendance at satellite broadcasts
- Serving on the local supervisory council or corporate leadership council
- Writing leadership articles for Agency publications
- Seminars or conferences
- Providing leadership training to peers at staff meetings
- Shadowing a leader
- Reading and discussing the application with his or her manager of various handbooks provided in the Supervisor Certification formal courses, such as:
  - Face to Face: A Guide for Government Supervisors Who Counsel Problem Employees (4 hours maximum credit)
  - The Federal Manager's Guide to EEO (4 hours maximum credit)
  - Managing Leave and Attendance Problems: A Guide for the Federal Supervisor (2 hours maximum credit)
  - Getting Results Through Learning (2 hours maximum credit)

To the extent possible, Supervisor Certification Program participants are encouraged to use all NHN programs, NHN ESeries episodes, peer coaching, and handbooks from formal Supervisor Certification courses to fulfill some or the entire self-development electives requirement.

## **Description of Development and Learning Requirements Phase 4, Continued**

### **Important note**

If possible, self-development activities should be forecast at the beginning of the 2<sup>nd</sup> year of the Certification period and indicated on the 2<sup>nd</sup> year IDP. At a minimum, activities must be planned and discussed between new supervisor and manager prior to Phase 4. As self-development electives are accomplished, they will be recorded on the Supervisor Certification Program Checklist and initialed by both new supervisor and manager. Managers must validate the satisfactory accomplishment of self-development activities, primarily through discussion with the supervisor on concepts learned and application to the supervisor's work unit.

### **Multi-Source Feedback Assessment (Phase 4)**

Each new supervisor will participate in a multi-source feedback assessment prior to completion of the Supervisor Certification Program. The DLA Training Center will coordinate arrangements with each new supervisor during Phase 4 of the Certification period. This developmental tool is a 360-degree assessment instrument that provides the new supervisor with confidential feedback from his or her manager, direct-line reports, and peers. Feedback obtained from the multi-source assessment will form the basis for the IDP that the new supervisor and his or her manager prepare together at the end of Phase 4 for the new supervisor's continued post-certification development. (See Appendix B3 for template.)

## New Supervisor Certification Program Completion

### Process for completion

The New Supervisor Certification Program Checklist must be completed by the new supervisor, signed by the manager, endorsed by the second level manager, and forwarded to the DLA Training Center within 30 days of completion of the 2-year Supervisor Certification Program. (See appendix G.)

Stage	Person	Action
1	New supervisor	completes the Supervisor Certification Program Checklist throughout the 2-year certification period, including specific information on peer coaching events and/or self-development electives.
2	New supervisor and Manager	initials every entry as the learning activity is accomplished/completed.
3	Manager	certifies the checklist at the end the certification period.
4	2 <sup>nd</sup> level Manager	endorses the checklist at the end the certification period.
5	New supervisor	forwards the signed checklist to the DLA Training Center (Leadership & Management Development Team) within 30 calendar days of the end of the Certification period.
6	The DLA Training Center	reviews the checklist and approves for certification.
7	DLA Commander or designee	signs Supervisor Certification Certificate after the DLA Training Center's review of the checklist.
8	Organization/Field Activity Leadership	publicly presents certificate and plaque to the New Supervisor Certification Program graduate within the local organization.

### Recognition of Supervisor Certification Program Completion

Completion of the DLA New Supervisor Certification Program is a significant milestone that the Agency acknowledges and celebrates. The certificate and plaque will be presented publicly to the graduate in a local recognition forum/ceremony as soon as possible following Program completion. Additional publicity will be accomplished by the DLA Training Center in the DLA Today & Tomorrow and/or other Agency communication vehicles. A list of Supervisor Certification Program graduates will be provided by the DLA Training Center to the DLA Corporate Leadership Council for acknowledgement.

## **Failure to Complete Certification Requirements**

### **Deficient performance**

Deficient performance during the supervisory probationary period will be handled in accordance with the One Book Chapter on Probationary Period for New Supervisors/Managers. If a probationary supervisor fails to demonstrate solid performance in any DLA managerial/leadership competency, the manager will provide coaching, counseling, and a reasonable opportunity for the new supervisor to perform satisfactory. If deficient performance continues despite remediation efforts, the new supervisor will be removed from a supervisory position prior to the end of the probationary period.

The determination of what constitutes a reasonable opportunity is made by the manager in conjunction with advice provided by the servicing employee relations specialist.

### **Failure to complete all training/developmental activities**

An individual who demonstrates solid performance in all DLA managerial/leadership competencies and successfully completes the probationary period, but fails to complete all Supervisor Certification Program requirements within designated timeframes, will not receive Agency certification.

### **Other extenuating circumstances**

Other documented extenuating circumstances may occur during the 2-year Certification period that impact on an individual's ability to complete training requirements. Such circumstances might involve an extended approved absence or OCONUS complications. (In general, workload is not considered as an acceptable justification for extension.)

The new supervisor may request an extension of not more than 6 months for completion of Supervisor Certification Program requirements. This request must be

- made in writing by the new supervisor prior to the end of the 2-year Certification period
- endorsed by the second level manager, and
- forwarded to the DLA Training Center (Leadership & Management Development Team) for approval or disapproval.

If any Certification requirement is not completed within the extension period, the individual will stay in a supervisory position, but receive no Agency certification.



## Appendix A—New Supervisor and Manager Partnering Agreement

### Purpose

The purpose of the New Supervisor and Manager Partnering Agreement is to facilitate collaboration between the new supervisor and his or her manager. This discussion should occur during the first 30 days of the new supervisor’s appointment. Suggested discussion topics are listed below. Following these items is a section for both parties to record comments and indicate agreement to support each other and the organization during the New Supervisor Certification period. This agreement should be revisited during quarterly progress reviews.

Category	New Supervisor’s Information Needs and Expectations of the Manager	Manager’s Discussion Items and Expectations of the New Supervisor
<b>Desired Results</b>	Support needed to aid in the transition to a supervisor/leadership role; Support for completion of Supervisor Certification Program requirements; Individual Development Plan for the 1st and 2nd year of the Certification Program; Work unit performance and accomplishments	Presentation and discussion of position description and organization chart; Organization initiatives, mission and responsibilities, business goals and objectives; Desired results and outcomes for work unit; Customer requirements and satisfaction levels; Communication plan and staff meeting requirements; Keeping manager informed on Certification Program plans and accomplishments
<b>Guidelines</b>	Information on organization’s standard operating procedures and internal processes; Manager’s leadership style and approach to problem solving/decision making; Levels of flexibility (empowerment) in various circumstances and scenarios; Organization and group values and culture	Specific boundaries and deadlines for accomplishing desired results (strategic plan, business plan, balanced scorecard, etc.); Degree of independence expected of new supervisor and level of managerial controls; Governing rules and regulations; “Watch-outs” and “don’t dos”
<b>Resources</b>	Leadership hierarchy/chain of command; POCs for HR, EEO, safety, IT, budget, equipment/supplies, T&A, DTS, etc.; Support desired in terms of coaching or mentoring	People, money, facilities, tools, and systems available to accomplish desired results; Special leadership needs of the work unit; Any pending personnel or other administrative issues; New supervisor’s assessment of his or her leadership strengths and areas for growth; Planning for individualized, self-development activities
<b>Accountability</b>	Organizational metrics and reporting requirements; Feedback from customers and teams; Schedule for quarterly progress reviews	Presentation and discussion of performance standards; Discussion of “solid performance” in DLA managerial/leadership competencies; Final probationary period assessment and performance expectations; Expectations for modeling values of corporate culture
<b>Rewards</b>	Preferences on financial and non-financial awards, time off, verbal praise, and individual or team recognition; Opportunities for increased responsibilities and career growth	Results of achieving or not achieving goals and objectives: money, opportunities, increased trust, respect, etc.

**New Supervisor's Comments**

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*I agree to fully utilize the New Supervisor Certification Program to meet all developmental requirements that are outlined for building my foundation of leadership knowledge and skills. I will keep my manager apprised of my progress and obtain his or her assistance in determining individualized self-development activities. I will seek the advice and assistance of my manager as I lead my employees toward accomplishment of organization goals and the formation of a cohesive, committed, and productive work unit. I will strive to demonstrate the actions, attitudes, and behaviors expected of DLA leaders as defined in the DLA Values and DLA managerial/leadership competencies.*

Signature of New Supervisor: \_\_\_\_\_ Date: \_\_\_\_\_

**Manager's Comments**

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*I agree to support the new supervisor in his or her accomplishment of all developmental requirements outlined for the New Supervisor Certification Program. I will assist the new supervisor in managing workload and delegating assignments so that all requirements are met during the 2-year Certification period. I will monitor the progress of the new supervisor and provide quarterly progress reviews, regular coaching and feedback on ways to build and strengthen his or her leadership competencies. I will model the actions, attitudes, and behaviors expected of DLA leaders as defined in the DLA Values and DLA managerial/leadership competencies. Finally, I will assess the new supervisor's performance in supervisory duties and ensure retention in a supervisory position only if he or she demonstrates "solid performance" in all DLA managerial/leadership competencies during the supervisor probationary period.*

Signature of Manager: \_\_\_\_\_ Date: \_\_\_\_\_

## Appendix B1—Individual Development Plan 1<sup>st</sup> Year

<b>PURPOSE OF PLAN (“X” one):</b> <input checked="" type="checkbox"/> Initial IDP upon entering position <input checked="" type="checkbox"/> 1 <sup>st</sup> Year Supv Certification <input type="checkbox"/> 2 <sup>nd</sup> Year Supv Certification <input type="checkbox"/> Annual Update <input type="checkbox"/> Interim Update	<b>Career Path Category (“X” one or more):</b>  <input type="checkbox"/> Core Competency: Contracting, Multifunctional, Quality Assurance, Supply, Transportation , Utilities  <input type="checkbox"/> Support: Admin/Clerical, Environmental, Resources/Budget, Jobs Not Listed  <input checked="" type="checkbox"/> DLA Leader Development <input checked="" type="checkbox"/> Tier II, New Supervisor Certification Program <input type="checkbox"/> Tier III, Supervisor 2-10 Years <input type="checkbox"/> Tier IV, Supervisor Over 10 Years & Managers <input type="checkbox"/> Tier V, Senior Executives & Managers of Managers
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<b>Name of Employee</b>	<b>Position Title, Pay Plan, Series, and Grade:</b>	<b>Office Symbol:</b>	<b>Period Covered:</b>
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Development Objective	Priority	Development Activity	Source of Development	Costs Direct/ Indirect	Hours Duty/ Nonduty	Activity Scheduled	Activity Completed
Appointment	1	Probationary Supervisor Appointment Letter	New Supv and Manager	N/A	N/A	Upon Appointment	
Appointment	1	Basic Appointment Requirements: Partnering Agreement Position Description Performance Standards 1 <sup>st</sup> year IDP	New Supv and Manager	N/A	N/A	Within 30 days	
Orientation	1	Certification Orientation	DTC	No Cost	2 Hrs Duty	1 <sup>st</sup> Month	
Responsibility/Accountability, Resource Stewardship	1	DLA On-Line HRM Modules	DTC	No Cost	12 Hrs Duty or Telework (as approved by Manager)	First 90 Days	

Development Objective	Priority	Development Activity	Source of Development	Costs Direct/ Indirect	Hours Duty/ Nonduty	Activity Scheduled	Activity Completed
Responsibility/Accountability Resource Stewardship	1	DLA Applied HRM for Supervisors Course	DTC	TDY Indirect	40 Hrs Duty	First 12 Months	
Leadership, Professionalism, Oral/Written Communication, Teamwork, Responsibility/ Accountability	1	Leadership Education & Development (LEAD)	DTC	TDY Indirect	40 Hrs Duty	First 12 Months	
Review	1	Quarterly Progress Reviews	Manager	N/A	N/A	End of 3 mnths End of 6 mnths End of 9 mnths End of 12 mnths	
Assessment		Probationary Period Assessment	Manager	N/A	N/A	Between the 10 <sup>th</sup> and 12th mnth of prob period	
<p><b>CERTIFICATION:</b> I certify that the training, development, or education identified in this plan constitutes a valid management need for maximum performance of mission requirements and has been developed for the purpose of increasing the employee's performance in his or her current position or to prepare him or her for an identified target assignment.</p>							
<b>EMPLOYEE'S SIGNATURE</b>	<b>DATE</b>	<b>SUPERVISOR'S SIGNATURE</b>		<b>DATE</b>	<b>REVIEWING OFFICIAL'S SIGNATURE</b>	<b>DATE</b>	

**MODEL IDP NEW SUPERVISOR CERTIFICATION PROGRAM—1<sup>ST</sup> YEAR**

## Appendix B2—Individual Development Plan 2<sup>nd</sup> Year

<b>PURPOSE OF PLAN (“X” one):</b> <input checked="" type="checkbox"/> Initial IDP upon entering position <input type="checkbox"/> 1 <sup>st</sup> Year Supv Certification <input checked="" type="checkbox"/> 2 <sup>nd</sup> Year Supv Certification <input type="checkbox"/> Annual Update <input type="checkbox"/> Interim Update	<b>Career Path Category (“X” one or more):</b> <input type="checkbox"/> Core Competency: Contracting, Multifunctional, Quality Assurance, Supply, Transportation , Utilities <input type="checkbox"/> Support: Admin/Clerical, Environmental, Resources/Budget, Jobs Not Listed <input checked="" type="checkbox"/> DLA Leader Development <input checked="" type="checkbox"/> Tier II, New Supervisor Certification Program <input type="checkbox"/> Tier III, Supervisor 2-10 Years <input type="checkbox"/> Tier IV, Supervisor Over 10 Years & Managers <input type="checkbox"/> Tier V, Senior Executives & Managers of Managers		
<b>Name of Employee</b>	<b>Position Title, Pay Plan, Series, and Grade:</b>	<b>Office Symbol:</b>	<b>Period Covered:</b>

Development Objective	Priority	Development Activity	Source of Development	Costs Direct/ Indirect	Hours Duty/ Nonduty	Activity Scheduled	Activity Completed
Development Plan	1	2 <sup>nd</sup> Year Certification IDP, to include forecast of self-development electives	New Supv and Manager	N/A	N/A	Beginning of 2 <sup>nd</sup> year	
Leadership Resource Stewardship Oral/Written Communication Teamwork Professionalism Strategic Focus Innovation and Initiative Responsibility/Accountability	1	<b>Ninth House Network:</b> .Situational Leadership, 6 hrs .High Impact Hiring, 2 hrs .Resolving Interpersonal Issues, 2 ½ hrs .Building Community 2 ½ hrs .Reframing Change, ½ hr .Managing Change, 1 ½ hrs .Navigating Change, 1 ½ hrs .Forging Breakthroughs, 3 hrs .Partnering for Results, 2 hrs .Optimizing Team Performance, 2 ½ hrs	DTC	No Cost	24 Hrs Duty or Telework (as approved by Manager)	Phases 3–4, 12–24 Months	
Leadership, Professionalism	1	One-on-One Coaching	DTC	No Cost	4 Hrs Duty	Phase 3, 12–18 Months	
Leadership, Professionalism	1	Serve as New Supervisor Sponsor	DTC	No Cost	N/A	Phases 3–4, 12–24 Months	
Responsibility/Accountability	1	Multi-Source Feedback Assessment	DTC	No Cost	N/A	Phase 4, 18–24 Months	

Development Objective	Priority	Development Activity	Source of Development	Costs Direct/ Indirect	Hours Duty/ Nonduty	Activity Scheduled	Activity Completed
Leadership, Professionalism, Teamwork	1	<b>SELF-DEVELOPMENT ELECTIVES</b>  <u>Peer Coaching</u>	DTC	No Cost	Up to 24 Hrs Duty	<b>TOTAL 24 HOURS</b>  Phases 3–4, 12–24 Months	
		AND/OR					
Responsibility/Accountability Leadership, Customer Service Strategic Focus, Innovation and Initiative, Teamwork		* <u>Ninth House Network</u> : .Self-Management (3 ½ hrs) .Capturing Brand You (1½hrs) .Innovation: WOW (3 hrs) .Virtual Teams (¾ hrs) .All 7 ESeries (3 ½ hrs)	DTC	No Cost	Up to 12¼ Hrs Duty or Telework (as approved by Manager)		
		AND/OR					
Leadership Teamwork Oral/Written Communications Strategic Focus Responsibility/Accountability Customer Service Professionalism Resource Stewardship Innovation and Initiative		* <u>Other Developmental Events/Activities/ Strategies</u> : (List each individual event or activity, including sources, costs, and hours)	Various Sources	Include Costs - Funded by home organization	Up to 24 Hrs Duty or Telework (as approved by Manager)		
Continuing Development Plan	1	Develop Post-Certification IDP	New Supv and Manager	N/A	N/A	End of Year Two, Certification	
<b>CERTIFICATION:</b> I certify that the training, development, or education identified in this plan constitutes a valid management need for maximum performance of mission requirements and has been developed for the purpose of increasing the employee’s performance in his or her current position or to prepare him or her for an identified target assignment.							
<b>EMPLOYEE’S SIGNATURE</b>		<b>DATE</b>	<b>SUPERVISOR’S SIGNATURE</b>		<b>DATE</b>	<b>REVIEWING OFFICIAL’S SIGNATURE</b>	<b>DATE</b>

## Appendix B3—Individual Development Plan Post-Certification

<b>PURPOSE OF PLAN (“X” one):</b> <input type="checkbox"/> Initial IDP upon entering position <input type="checkbox"/> 1 <sup>st</sup> Year Supv Certification <input type="checkbox"/> 2 <sup>nd</sup> Year Supv Certification <input checked="" type="checkbox"/> Annual Update <input type="checkbox"/> Interim Update	<b>Career Path Category (“X” one or more):</b>  <input type="checkbox"/> Core Competency: Contracting, Multifunctional, Quality Assurance, Supply, Transportation , Utilities  <input type="checkbox"/> Support: Admin/Clerical, Environmental, Resources/Budget, Jobs Not Listed  <input type="checkbox"/> DLA Leader Development <input type="checkbox"/> Tier II, New Supervisor Certification Program <input checked="" type="checkbox"/> Tier III, Supervisor 2-10 Years <input type="checkbox"/> Tier IV, Supervisor Over 10 Years & Managers <input type="checkbox"/> Tier V, Senior Executives & Managers of Managers
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<b>Name of Employee</b>	<b>Position Title, Pay Plan, Series, and Grade:</b>	<b>Office Symbol:</b>	<b>Period Covered:</b>
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Development Objective	Priority	Development Activity	Source of Development	Costs Direct/ Indirect	Hours Duty/ Nonduty	Activity Scheduled	Activity Completed
Leadership							
Teamwork							
Oral and Written Communications							
Strategic Focus							

Development Objective	Priority	Development Activity	Source of Development	Costs Direct/ Indirect	Hours Duty/ Nonduty	Activity Scheduled	Activity Completed
Responsibility/ Accountability							
Customer Service							
Professionalism							
Resource Stewardship							
Innovation and Initiative							
<p><b>CERTIFICATION:</b> I certify that the training, development, or education identified in this plan constitutes a valid management need for maximum performance of mission requirements and has been developed for the purpose of increasing the employee's performance in his or her current position or to prepare him or her for an identified target assignment.</p>							
<b>EMPLOYEE'S SIGNATURE</b>	<b>DATE</b>	<b>SUPERVISOR'S SIGNATURE</b>		<b>DATE</b>	<b>REVIEWING OFFICIAL'S SIGNATURE</b>	<b>DATE</b>	



## **Appendix C—Quarterly Progress Review DLA Probationary Supervisors**

**Purpose:** The progress review serves to document quarterly discussions between the new supervisor and manager on the status of short-term developmental goals established for the supervisor probationary period. Use the new supervisor’s IDP and the New Supervisor & Manager Partnering Agreement as reference points for discussions and planning.

**End of 3 Months** **Date of Progress Review:** \_\_\_\_\_

**Challenges Faced** (such as developmental needs, focus-areas, and difficult situations):

**Progress Made** (such as most successful areas, memorable learning points, developmental strengths, and positive developmental results):

**Developmental Goals for Next 3 Months** (such as opportunities to pursue, areas to strengthen):

**Needed Management Support** (how the manager can assist in transition and developmental progress):

Signature of Probationary Supervisor: \_\_\_\_\_ Date: \_\_\_\_\_

Signature of Manager: \_\_\_\_\_ Date: \_\_\_\_\_

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**End of 6 Months** **Date of Progress Review:** \_\_\_\_\_

**Challenges Faced** (such as developmental needs, focus-areas, and “stretch” assignments):

**Progress Made** (such as most successful areas, memorable learning points, developmental strengths, and positive developmental results):

**Developmental Goals for Next 3 Months** (such as opportunities to pursue, areas to strengthen):

**Needed Management Support** (such as assistance and/or support needed from the manager):

Signature of Probationary Supervisor: \_\_\_\_\_ Date: \_\_\_\_\_

Signature of Manager: \_\_\_\_\_ Date: \_\_\_\_\_

**End of 9 Months**

**Date of Progress Review:** \_\_\_\_\_

**Challenges Faced** (such as developmental needs, focus-areas, and difficult situations):

**Progress Made** (such as most successful areas, memorable learning points, developmental strengths, and positive developmental results):

**Developmental Goals for Next 3 Months** (such as opportunities to pursue, areas to strengthen):

**Needed Management Support** (how the manager can assist in transition and developmental progress):

Signature of Probationary Supervisor: \_\_\_\_\_ Date: \_\_\_\_\_

Signature of Manager: \_\_\_\_\_ Date: \_\_\_\_\_

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**End of 12 Months**

**Date of Progress Review:** \_\_\_\_\_

**Challenges Faced** (such as developmental needs, focus-areas, and “stretch” assignments):

**Progress Made** (such as most successful areas, memorable learning points, developmental strengths, and positive developmental results):

**Developmental Goals for Next Year** (such as opportunities to pursue, areas to strengthen):

**Needed Management Support** (such as assistance and/or support needed from the manager):

Signature of Probationary Supervisor: \_\_\_\_\_ Date: \_\_\_\_\_

Signature of Manager: \_\_\_\_\_ Date: \_\_\_\_\_

## Appendix D—Probationary Supervisor Assessment

Prior to the end of the probationary period

- the probationary supervisor must complete all developmental training requirements for the first year of the New Supervisor Certification Program (Phases 1 and 2), and
- the individual who performs the annual rating of record for the probationary supervisor must complete this form based upon at least 90 days of direct observation of the probationary supervisor’s performance.

If an immediate manager is unavailable, or has observed less than 90 days of performance, a higher-level manager in the chain-of-command may complete the assessment. This assessment is not an official rating of record; however, the DLA Training Center (DTC) will file it in the probationary supervisor’s Official Personnel Record.

**Name of Probationary Supervisor:** \_\_\_\_\_ **Series/Grade** \_\_\_\_\_

**Organization Symbol:** \_\_\_\_\_ **Effective Date of Supervisory Probationary Period:** \_\_\_\_\_

*As manager of \_\_\_\_\_, I hereby assess this individual’s performance during the probationary period as (please check one):*

\_\_\_\_\_ **Satisfactory**, demonstrates “solid performance” in all DLA managerial/leadership competencies and has completed all 1<sup>st</sup> Year Certification Program developmental requirements (Phases 1 and 2).

\_\_\_\_\_ **Not Satisfactory**, does not demonstrate “solid performance” in each DLA managerial/leadership competencies or has failed to complete all 1<sup>st</sup> Year Certification developmental requirements (Phases 1 and 2). Please contact your servicing employee relations specialist immediately for assistance.

**Name and Title of Assessing Manager:** \_\_\_\_\_

**Phone Number of Assessing Manager:** \_\_\_\_\_

**Signature of Assessing Manager:** \_\_\_\_\_

**Signature of Probationary Supervisor:** \_\_\_\_\_

**Date of Assessment:** \_\_\_\_\_

**Please return your completed form to:**  
DLA Training Center  
Leadership & Management Development Team (DTW)  
Fax: (614) 692–5798

## Appendix E—Leadership Competencies

### DLA Managerial/Leadership Competencies

**LEADERSHIP:** Inspires, motivates, and guides others toward strategic/operational goals and corporate values. Coaches, mentors, and challenges staff and adapts leadership style to various situations. Consistently demonstrates decisiveness in day-to-day actions. Takes unpopular positions when necessary. Faces adversity head on. Rallies support & strives for consensus to accomplish tasks. Leads by personal example. Demonstrates concern for employees' welfare and safety, by continuously monitoring and eliminating potentially hazardous or unhealthy work situations. *(Coincides with Denison leadership competency: Empowers People)*

**TEAMWORK:** Encourages a participative approach to work, fostering cooperation, pride, dialogue, and trust. Creates strong spirit and morale. Defines success in terms of the whole team and fosters teamwork. Works well with teams and others across the organization/enterprise to achieve goals. Consistently places team priorities before personal priorities. *(Coincides with Denison leadership competency: Builds Team Orientation)*

**ORAL AND WRITTEN COMMUNICATIONS:** Presents ideas and information both verbally and in writing in a clear, concise manner. Shares relevant information. Informs others on a timely basis. Consistently shows a great deal of understanding, courtesy, tact, empathy, and concern when communicating with others. Demonstrates very effective listening and questioning skills. *(Coincides with Denison leadership competencies: Works to Reach Agreement, Manages Coordination/Integration)*

**STRATEGIC FOCUS:** Has broad knowledge and perspective on the strategic issues facing the organization/Agency. Can relate strategic objectives and enterprise focus to operational activities. *(Coincides with Denison leadership competencies: Defines Strategic Direction and Intent, Creates a Shared Vision)*

**RESPONSIBILITY/ACCOUNTABILITY:** Acts in the best interest of the organization/Agency. Takes responsibility for personal actions, and takes/proposes timely and adequate corrective measures. Establishes or supports organizational and personal performance goals that are challenging and reflect mission goals. Honors commitments and obligations. Gives honest and respectful feedback to coworkers and subordinates. Conducts or requires others to conduct accurate, un-inflated, and timely performance evaluations. Ensures that an internal control system for efficient and effective management of programs, security policies, and daily operations is in place to safeguard against waste, fraud, unauthorized use, or misappropriation, to ensure that revenues and expenditures applicable to DLA operations are properly recorded and accounted for to permit the preparation of accounts and reliable financial statistical reports, and to ensure that proper accountability is maintained. *(Coincides with Denison leadership competency: Defines Goals and Objectives)*

**CUSTOMER SERVICE:** Demonstrates a commitment to working with both internal and external customers. Identifies and resolves issues and concerns. Demonstrates commitment to providing high quality service. Continuously assesses service delivery performance from the customers' point of view. Anticipates and meets or exceeds customer expectations. *(Coincides with Denison leadership competency: Emphasizes Customer Focus)*

**PROFESSIONALISM:** Acts with integrity. Is trusted by others. Treats people fairly. Is seen as a direct and truthful individual and keeps confidences of others. Does not misrepresent themselves for personal gain. Displays high standards of ethical conduct and understands how violating these standards would impact the organization, self, and others. Applies sound work ethic and standards. Fosters a work culture that promotes respect for others and discourages hurtful behavior. *(Coincides with Denison leadership competency: Defines Core Values)*

**RESOURCE STEWARDSHIP:** Demonstrates responsibility for assigned resources. Conducts resource planning, execution, and evaluation. Performs the full range of HRM functions, to include responsibility for position management, ensuring that organizations are staffed with the proper types, numbers, and grade levels of positions; staff is properly selected, developed, utilized, appraised, and recognized; and that staff members are treated fairly. Contributes, promotes, and implements the furthering of Equal Employment Opportunity (EEO) through individual personal efforts. Demonstrates commitment to Agency's EEO goals. Demonstrates affirmative efforts to improve all personnel actions. Facilitates the provision of reasonable accommodations and dispute resolutions. Demonstrates commitment to non-discrimination in the workplace. Supports Special Emphasis Programs. *(Coincides with Denison leadership competency: Develops Organizational Capability)*

**INNOVATION AND INITIATIVE:** Displays a high level of initiative, effort, and commitment to sound business practices. Supports continuous improvement. Consistently seizes opportunities when they arise and produces quality work products. Keeps current on emerging concepts and issues. Pursues professional development. *(Coincides with Denison leadership competencies: Creates Change, Promotes Organizational Learning)*



## Denison Leadership Competencies

### Adaptability—Translating the Demands of the Organizational Environment into Action

Creates Change—Knows the organizational environment and quickly reacts to current trends, and anticipates future changes. Continually creates adaptive and innovative ways to meet changing needs.

Emphasizes Customer Focus—Driven to clearly understand the present and future needs of the customer, seeks ongoing input from the customer, continuously strives to improve customer service, and ensures that all employees are driven by a concern to satisfy the customer.

Promotes Organizational Learning—Encourages innovation, risk taking, and continuous improvement. Sees mistakes as opportunities for gaining knowledge and developing capabilities.

### Mission—Defining a Meaningful Long-Term Direction for the Organization

Defines Strategic Direction and Intent—Communicates the organization's overall strategies so that everyone can see the relationship between their work and the accomplishment of the work group or organization's goals. Effectively implements short and long-term strategies to meet organizational needs.

Defines Goals and Objectives—Encourages high employee accountability in setting and accomplishing organizational goals. Communicates a clear set of goals and objectives that can be linked to the mission, vision, and strategy of the work group or organization.

Creates a Shared Vision—Helps create a shared view of a desired future state for his or her organizational unit. Inspires others with this vision, translates it into everyday activities, and engages others to ensure buy-in and commitment.

### Consistency—Defining the Values and Systems that are the Basis of Strong Leadership

Defines Core Values—Communicates and lives by a set of non-negotiable core values. Helps to define the work group or organization's culture, values and ethics; and helps employees learn to apply the organization's values when dealing with customers, stakeholders and other employees.

Works to Reach Agreement—Helps to reconcile differences when they occur by actively promoting constructive discussion of conflicting ideas, incorporating diverse points of view into decisions, and working toward win-win solutions.

## Denison Leadership Competencies, continued

### Consistency—Defining the Values and Systems that are the Basis of Strong Leadership, continued

Manages Coordination and Integration—Ensures that different functions or units of the work group or organization are able to work together well to achieve common goals. Establishes necessary contacts and coordinates resources in other groups to prevent organizational boundaries from interfering with getting work done.

### Involvement—Building Human Capability, Ownership, and Responsibility

Empowers People—Creates an environment where individuals have the authority, initiative, and ability to develop and manage their own work. Employees have a sense of ownership and responsibility toward the organization.

Builds Team Orientation—Places value towards working cooperatively toward common goals and knows how to use team effort to get work done. Establishes a sense of mutual accountability for the accomplishment of goals

Develops Organizational Capability—Continually focuses on the development of employees' skills and knowledge to meet ongoing organizational needs. Effectively uses the diverse capabilities of the workforce.

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## Appendix F—Guidelines for Crediting Continuous Learning Leadership Activities

Category	Creditable Activities	Credit <sup>1</sup>
Training	Classroom Training on <ul style="list-style-type: none"> <li>• Supervisory Skills</li> <li>• Managerial Skills</li> <li>• Leadership Competencies</li> </ul>	10 hours per Continuing Education Unit (CEU) OR 1 hour per 60 minutes of instruction (1 full day = 8 hours; 1 full week = 40 hrs)
	Computer-Based Training (CBT), Internet-Based or Correspondence Course on supervisory/managerial topics	10 hours per CEU or 1 hour per vendor-established course hour
	Team Training	1 hour per 60 minutes of instruction
	Mentor/Peer Coaching Training	1 hour per 60 minutes of instruction
	Training with Industry <sup>2</sup>	1 hour per 60 minutes of instruction
	Audio and/or Video-based Management/Leadership Training or assigned readings	15-minute increments up to maximum 10 hours in 1 year or 20 hours in 2 years <sup>3</sup>
Education	Quarter Hour in Management or related course, college credit	10 per Quarter Hour
	Semester Hour in Management-related course, college credit	15 hours per Semester Hour
Experience	On-the-Job Experiential Assignments	Maximum 10 hours in 1 year or 20 hours in 2 years
	Rotational/Broadening Assignments	Maximum 10 hours in 1 year or 20 hours in 2 years
	Experience with Industry <sup>2</sup>	Maximum 10 hours in 1 year or 20 hours in 2 years
	Special Project Team Leader	Maximum 10 hours in 1 year or 20 hours in 2 years
	Serving as Mentor or Being Mentored; Professional or Peer Coaching; Shadowing	1 hour per 60 minutes of participation; maximum 20 hours in 2 years
Professional Activities	Active membership in management association	1 hour per 60 minutes of participation
	Symposia/Conference Presentations related to supervision/management	1 hour for each hour of presentation; maximum 20 hours in 2 years
	Supervisory-related Workshop/Conference Attendance	1 hour per 60 minutes of presentation; maximum 8 hrs/day

<sup>1</sup> Minimum requirement is 40 hours over two years (or 24 hours during Phase 4 of the DLA New Supervisor Certification Program). Documentation and verification are the responsibility of the supervisor and his or her manager.

<sup>2</sup> See DLA One Book Chapter on Training with Industry, dated April 28, 2003.

<sup>3</sup> Learning experiences that do not have a set number of course hours or definite notice of completion may supplement more formal training if directed by (and under the review of) the supervisor's manager.



## Appendix G—New Supervisor Certification Program Checklist

New Supervisor’s Name: \_\_\_\_\_

Organization Symbol: \_\_\_\_\_ Effective Date of Probationary Period: \_\_\_\_\_

<b>Phase 1, Appointment to 90 Days Requirement</b>	<b>Date Completed</b>	<b>Hours Credited</b>	<b>Initials New Supervisor</b>	<b>Initials Manager</b>
Appointment Letter Discussed/Signed		N/A		
Basic Appointment Requirements: Partnering Agreement		N/A		
Position Description		N/A		
Performance Standards		N/A		
First Year IDP		N/A		
Quarterly Progress Review End of 3 Months		N/A		
New Supervisor’s Toolkit		N/A		
Certification Orientation		2 hours		
DLA On-Line HRM Modules		12 hours		

<b>Phase 2, 90 Days—12 Months Requirement</b>	<b>Date Completed</b>	<b>Hours Credited</b>	<b>Initials New Supervisor</b>	<b>Initials Manager</b>
DLA Applied HRM for Supervisors Course		40 hours		
LEAD Course and Assessments		40 hours		
Quarterly Progress Review Continued End of 6 Months		N/A		
End of 9 Months		N/A		
End of 12 Months		N/A		

<b>Phase 2, 90 Days—12 Months Requirement</b>	<b>Date Completed</b>	<b>Hours Credited</b>	<b>Initials New Supervisor</b>	<b>Initials Manager</b>
Probationary Period Assessment		N/A		

<b>Phases 3—4, 12 Months—24 Months Requirement</b>	<b>Date/s Completed</b>	<b>Hours Credited</b>	<b>Initials New Supervisor</b>	<b>Initials Manager</b>
<b>Develop Second Year IDP Supervisor Certification Program</b>		N/A		
<b>One-on-One Professional Coaching</b>		4 hours		
<b>NHN Situational Leadership</b>		6 hours		
<b>NHN High Impact Hiring</b>		2 hours		
<b>NHN Resolving Interpersonal Issues</b>		2½ hours		
<b>NHN Building Community</b>		2½ hours		
<b>NHN Reframing Change</b>		½ hour		
<b>NHN Managing Change</b>		1½ hour		
<b>NHN Navigating Change</b>		1½ hour		
<b>NHN Forging Breakthroughs</b>		3 hours		
<b>NHN Partnering for Results</b>		2 hours		
<b>NHN Optimizing Team Performance</b>		2½ hours		
<b>Serve as New Supervisor Sponsor</b>		N/A		
<b>Multi-Source Feedback Assessment</b>		N/A		
<b>Develop Post-Certification IDP</b>		N/A		

<b>* Peer Coaching (Voluntary) List each session separately below:</b>	<b>Indicate Each Session Date</b>	<b>Indicate Hours for Each Date, nte<sup>4</sup> 24 hours total</b>	<b>Initials New Supervisor</b>	<b>Initials Manager</b>
1.				
2.				
3.				
4.				
5.				
6.				
7.				
8.				
9.				
10.				

<b>* Individualized Self- Development Electives List each training or learning activity separately below:</b>	<b>Indicated Date of Each Activity</b>	<b>Indicate Hours for Each Activity, nte 24 hours total</b>	<b>Initials New Supervisor</b>	<b>Initials Manager</b>
1.				
2.				
3.				
4.				
5.				

<sup>4</sup> Not to exceed

\*Time spent in peer coaching can be counted toward the 24-hour Individualized Self-Development Elective requirement. Peer coaching hours are not required in addition to the 24-hour elective requirement.

* Individualized Self-Development Electives List each training or learning activity separately below:	Indicated Date of Each Activity	Indicate Hours for Each Activity, Note 24 hours total	Initials New Supervisor	Initials Manager
6.				
7.				
8.				
9.				
10.				
11.				
12.				
13.				
14.				
15.				

\* Time spent in peer coaching can be counted toward the 24-hour Individualized Self-Development Elective requirement. Peer coaching hours are not required in addition to the 24-hour elective requirement.

**Authentication of the Completion of all New Supervisor Certification Program Requirements**

\_\_\_\_\_  
New Supervisor's Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Manager's Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Second Level Manager's Endorsement

\_\_\_\_\_  
Date

**The DLA Training Center, Approval for Certification:**

\_\_\_\_\_  
Leadership and Management Development Team

\_\_\_\_\_  
Date