
**TRAINING AND DEVELOPMENT POLICY FOR AMS SUPERVISORS, MANAGERS,
AND EXECUTIVES**

1. PURPOSE

This Directive establishes the AMS training and development policy for supervisors, managers, and executives.

2. REPLACEMENT HIGHLIGHTS

This Directive replaces the AMS Directive 4120.2, dated 06/19/09.

3. BACKGROUND

a. This Directive describes how AMS will meet supervisory training requirements. The goals are to:

- (1) Build a positive and productive work environment with engaged employees;
- (2) Build a supervisor workforce that supports long-term organizational performance;
- (3) Ensure that supervisory training is consistent throughout AMS; and
- (4) Reduce and eliminate problems created by untrained supervisors.

b. The heightened emphasis placed on leadership and USDA's belief in ongoing employee development leads to our recommitment in this Directive to ensuring the development of effective leaders in AMS. AMS considers supervisory competence and leadership development to be mission critical. Genuine partnerships and information sharing between managers and employees create a strong foundation for personal and organizational success. They create synergy and outcomes that allow creativity, flexibility and productivity to thrive.

The intention of this Directive is to drive a supervisory culture that supports AMS employees' diverse needs by equipping supervisors, managers, and executives with the tools and resources they need to carry out their mission.

- c. The Federal Government considers supervision and management as occupations critical to the effective organization and delivery of its services to the public. The need for supervisors and managers to develop and maintain current and effective human resources management and other leadership competencies is continually emphasized by OPM. As a result, OPM has identified core leadership competencies for all Federal supervisors, managers, and executives to address on their developmental path to outstanding leadership.

4. AUTHORITIES/REFERENCES

- a. <http://www.gpo.gov/fdsys/granule/USCODE-2011-title5/USCODE-2011-title5-partIII-subpartC-chap41>, and related guidance issued by the Office of Personnel Management;
- b. [Title 5, Code of Federal Regulations \(CFR\), Part 315, Subpart I, Probation on Initial Appointment to a Supervisory or Managerial Position](#);
- c. Title 5, Code of Federal Regulations (CFR), Part 410, Training;
http://www.ecfr.gov/cgi-bin/retrieveECFR?gp=&SID=47b4b73f3b0d50ee03cee88a18a8764f&mc=true&n=pt5.1.410&r=PART&ty=HTML#se5.1.410_1306
- d. Title 5, CFR, Part 412, Executive, Management, and Supervisory Development;
<http://www.ecfr.gov/cgi-bin/text-idx?rgn=div5&node=5:1.0.1.2.59>
- e. [Departmental Regulation 4040-412-001, Leadership Competency Framework](#); and
- f. [Departmental Regulation 4040-430, Performance Management, Section 9.a.\(7\); and 9.c.](#);
- g. Departmental Regulation 4040-412-002, Training and Development for Supervisors <http://www.ocio.usda.gov/document/departamental-regulation-4040-412-002>; and
- h. Departmental Regulation 4740-003, Executive Continual Learning Program.
<http://www.ocio.usda.gov/document/departamental-regulation-4740-003>

5. DEFINITIONS

- a. Experienced Supervisors. Employees who meet the definition of “Supervisor” in provision 6.f. with more than one year of experience as a supervisor in Federal government.
- b. Managers. Employees who accomplish work by directing the duties of an organizational unit with accountability for the success of specific line or staff functions. Managers also monitor and evaluate the progress of the organizational unit toward meeting goals and making adjustments in objectives, work plans, schedules, and commitment of resources. Generally, managers supervise supervisors.
- c. New Supervisors. Employees who meet the definition of “Supervisor” with less than 1 year of experience as a supervisor in the Federal government.
- d. Probationary Supervisors. Employees who meet the definition of “Supervisor” and are in probationary status subject to 5 CFR Part 315, Subpart I.
- e. Subordinate Supervisors. Employees who meet the definition of “Supervisor” and who are the direct reports of a manager or executive. Subordinate supervisors may be frontline supervisors, managers, or executives.
- f. Supervisor. Supervisors are permanent, full-time Federal employees who are responsible for delivering at least one employee’s performance review. For the purposes of this regulation, only employees who are coded as “2” or “4” in the USDA Enterprise Human Resources data system are subject to this policy’s training requirement.
- g. Training Officers Consortium. The USDA decision-making body for nontechnical training and employee development.

6. POLICY

- a. AMS complies with the requirements in [Departmental Regulations 4040-412-001](#), Leadership Competency Framework; [4040-412-002, Training and Development for Supervisors](#), and [4740-003, Executive Continual Learning Program](#).
- b. In addition to the requirements in the Departmental Regulations, AMS will require supervisory training in matters involving Civil Rights, Diversity and

Inclusion, Employee Engagement, Equal Employment Opportunity, and other Agency priorities.

- c. For more information on the Departmental Regulation for Supervisors, Managers, and Executives, click on the link below for the APHIS Center for Training and Organization Development's SharePoint site.
<https://ems-team.usda.gov/sites/aphis-svc-ctod/SitePages/Home.aspx>

7. RESPONSIBILITIES

- a. The Administrator, Associate Administrators, and Deputy Administrators will provide adequate support for implementing Agency-specific policies and to train all new supervisors to meet the requirements outlined in the Departmental Regulations.
- b. The MRPBS-Human Resources Division Director will:
 - (1) Work with the AMS leadership team to establish policies and procedures as necessary to ensure that all supervisors meet training standards and steps are taken to address any new supervisor's failure to complete the new supervisor training program.
 - (2) Report annually to USDA's Virtual University on compliance with supervisor training requirements.
 - (3) Grant and document extensions to the requirement to complete training in compliance with provision 5.b. (4) (a).
 - (4) Provide a training agreement within 14 days of employment to all newly hired supervisors that outlines the mutual obligations of the Agency and trainee.
- c. Executives and Managers will:
 - (1) Ensure and confirm that all new supervisors complete required training before the end of the new supervisor probationary period.
 - (2) Evaluate the developmental needs of subordinate supervisors and ensure that their IDPs reflect those development needs.

- (3) Certify that subordinate supervisors have completed their annual supervisor training requirements as part of the performance review process.
- d. The APHIS-MRPBS-HRD-Center for Training and Organization Development will:
- (1) Develop, maintain, market, and manage courses and programs to support supervisors, managers, and executives in meeting the requirements.
 - (2) Track completion of training to meet the requirements.
 - (3) Report compliance with requirements in accordance with the regulations.
- e. All AMS supervisors, managers, and executives will identify and complete training and development activities that enhance their ability to effectively engage and manage the performance of their employees.

8. INQUIRIES

- a. Clarification or assistance concerning these requirements should be directed to the APHIS-MRPBS-Human Resources Division-Center for Training and Organization Development Branch, at 301-851-2947.
- b. This Directive is available on the Internet at <http://www.ams.usda.gov/about-ams/policies/ams-issuances> and on the MRPBS-HRD-CTOD SharePoint site at <https://ems-team.usda.gov/sites/aphis-svc-ctod/SitePages/Home.aspx>

/s/

Elanor Starmer
Administrator
Agricultural Marketing Service

Attachment

Attachment 1:

The table below:

- Provides information on the supervisory training requirements in USDA Departmental Regulations (DRs) 4040-412-001, 4040-412-002, and 4740-003.
- Indicates how AMS complies with the requirements.

Coverage:

- Employees who are coded with position code “2” or “4” in the USDA Enterprise Human Resources data system are subject to this policy’s training requirement.
- The term “supervisor” in this document refers to supervisors, managers, and executives.
- A new supervisor, manager, or executive, hired after the implementation of this Regulation, who has never held a supervisory appointment in the USDA, or documented successful completion of either a USDA agency or Department-level approved new supervisor program must complete the USDAwide approved new supervisor training program.

Regulation	Requirement	How AMS Meets the DR requirements
5 CFR 412.202 (a)	Design and implement leadership development programs integrated with the employee development plans, programs, and strategies required by 5 CFR 410.201, and that foster a broad Agency and Governmentwide perspective.	<ul style="list-style-type: none"> • USDA Virtual University. • Professional Skills & Tools (PST) or comparable Agency leadership development program.
5 CFR 412.202 (b)	Provide training within 1 year of an employee’s initial appointment to a supervisory position ...	Probationary supervisors and supervisors who have never held a supervisory appointment in USDA or documented completion of either a USDA agency or Department-level approved new supervisor program complete the courses in the APHIS Fundamentals of Human Resources Management (FHRM) curriculum.
	...and follow up periodically, but at least once every 3 years, by providing each supervisor and manager additional training on the use of appropriate actions, options, and strategies to: <ol style="list-style-type: none"> 1) Mentor employees; 2) Improve employee performance and productivity; 3) Conduct employee performance appraisals in accordance with agency appraisal systems; and 4) Identify and assist employees with unacceptable performance. 	<p><i>Approach:</i> Experienced supervisors select courses from the list shown on the APHIS CTOD SharePoint site and that best suit their needs and help them fully meet the 5 CFR 412.202(b) requirements:</p> <p>Supervisors need to pick one or more courses that, in combination, address all four required topics every 3 years.</p> <p>Supervisors can identify their needs through the required 360 assessment, individual development goals, and feedback from others.</p> <p>CTOD will track supervisors’ training to help</p>

		ensure that, over the 3-year period, experienced supervisors meet the CFR requirement.
5 CFR 412.202 (c)	Provide training when individuals make critical career transitions, for instance from non-supervisory to manager or from manager to executive. This training should be consistent with assessments of the Agency's and the individual's needs.	Through courses and approaches reflected in the annual AMS Experienced Supervisor Training Plan, facilitated 360-degree feedback sessions, coaching, mentoring, and other support services targeted to Manager and Executive competencies.
DR 4040- 412-001	<p>USDA will use a standard competency model for leadership development called the Leadership Competency Framework.</p> <ol style="list-style-type: none"> a. The Leadership Competency Framework will be based on the OPM Executive Core Qualifications and leadership competencies to serve as a guide in developing approaches and tools for expanding the workforce's capacity and capabilities. b. The Leadership Competency Framework has been approved by the USDA Training Officers Consortium pursuant to Section 10.1 in this DR. c. All USDA mission areas, agencies, and staff offices will use the USDA Leadership Competency Framework as the basis for leadership development activities. 	AMS uses the USDA Leadership Competency Framework in the form of the AMS Leadership Roadmap.
DR 4040- 412-001	All supervisors, managers, and executives who are full-time, career or career-conditional employees are required to take a 360-degree assessment at least every 3 years to guide their leadership development.	<p>Supervisors, managers, and executives are required to take a 360-degree assessment and participate in a feedback session every 3 years. CTOD oversees the AMS 360 Assessment Program that supports compliance with this requirement. The AMS 360 Assessment Program is approved by the Department.</p> <p>Probationary supervisors must start a 360 assessment after completing 6 months in their new position. The due date is 240 days from the date of their Entry on Management date, i.e. the date they began their supervisory position.</p>

	<p>A new supervisor, manager, or executive, hired after the implementation of this regulation, who has never held a supervisory appointment in the USDA, or documented successful completion of either a USDA Agency or Department-level approved new supervisor program must complete the USDAwide approved new supervisor training program.</p> <p>a) The training should commence immediately after appointment but no later than the first 90 days following the appointment.</p> <p>b) The training must be completed within 1 year of beginning the appointment.</p>	<p>FHRM meets this requirement.</p> <p>Participants start FHRM NLT 90 days following their appointment by beginning the pre-work for FHRM as laid out in the document “Understanding FHRM” found on the CTOD SharePoint site.</p> <p>APHIS-CTOD uses AgLearn to track AMS compliance of completion of FHRM within 1 year of the appointment date.</p>
DR4040-412-002	<p>Each experienced supervisor will have an individual development plan (IDP) identifying the competencies for development and specific activities to increase their proficiency in those competencies.</p>	<p>All supervisors are required to complete an IDP each year and are encouraged to include activities that:</p> <ul style="list-style-type: none"> • Address the competencies identified in their 360 assessment, and • Help them meet the topics included in the experienced supervisor requirements identified above.
	<p>Annually, the VU will establish mandatory training and development requirements for experienced supervisors. These annual training standards will be approved by the Training Officer Consortium (TOC) and then implemented across USDA.</p>	<p>All supervisors will be expected to meet the mandatory training requirements established by the VU and approved by the TOC. Each year, the VU will send out the required training requirements.</p> <p>APHIS annually publishes information on options that meet the experienced supervisor requirements of 5 CFR 412.202 and any requirements in the AMS Cultural Transformation Action Plan.</p>
	<p>Completion of the annual experienced supervisor training and development requirements will be certified by the supervisor’s manager as part of the annual performance review process.</p>	<p>AMS managers are responsible for this role.</p>
	<p>Agencies will report annually to the VU on compliance with supervisor training requirements.</p>	<p>APHIS-CTOD uses AgLearn to track specific courses that meet 5 CFR 412 and reports compliance to the VU.</p>
DR 4740-003	<p>Each executive with supervisory responsibilities will complete a 360</p>	<p>Executives are required to take a 360-degree assessment and participate in a feedback session</p>

	degree assessment at least once every 3 years to gather feedback from their supervisor, peers, and employees. The results of the 360 degree assessment will be used by the executive in planning development efforts.	every 3 years.
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