



PERSONNEL AND
READINESS

OFFICE OF THE UNDER SECRETARY OF DEFENSE

4000 DEFENSE PENTAGON
WASHINGTON, D.C. 20301-4000

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MEMORANDUM FOR CHIEF MANAGEMENT OFFICER OF THE DEPARTMENT OF
DEFENSE

SECRETARIES OF THE MILITARY DEPARTMENTS
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GENERAL COUNSEL OF THE DEPARTMENT OF DEFENSE
DIRECTOR OF COST ASSESSMENT AND PROGRAM
EVALUATION
INSPECTOR GENERAL OF THE DEPARTMENT OF DEFENSE
DIRECTOR OF OPERATIONAL TEST AND EVALUATION
CHIEF INFORMATION OFFICER OF THE DEPARTMENT OF
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ASSISTANT SECRETARY OF DEFENSE FOR LEGISLATIVE
AFFAIRS
ASSISTANT TO THE SECRETARY OF DEFENSE FOR PUBLIC
AFFAIRS
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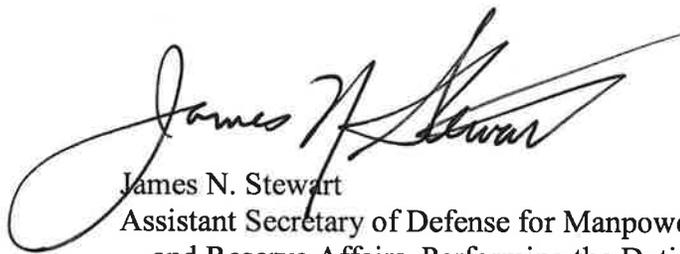
SUBJECT: Department of Defense 2019 Managerial and Supervisory Learning and
Evaluation Framework

Managers and supervisors play a vital role in the culture of an organization, and in the effectiveness of employee performance and productivity. Frequently, however, the military and civilian personnel who supervise Department of Defense (DoD) civilian employees lack sufficient training on and knowledge of Federal civilian personnel authorities, regulations, tools, and processes to effectively perform their supervisory duties. Recognizing the critical role that supervisors perform in leading and managing our workforce, the Department properly equips such supervisors with the guidance, training, and support necessary for their success.

To this end, section 412.202 of title 5, Code of Federal Regulations, directs agencies to provide training in specific topics for supervisors, managers, and executives within one year of initial appointment to a supervisory position, and provide additional training on these topics at least once every 3 years. Additionally, section 1113 of the National Defense Authorization Act for fiscal year 2010 (Public Law 111-84) directed the Secretary of Defense to establish a training program for supervisors of DoD civilian employees. The DoD Managerial and Supervisory (M&S) Training Program was established in 2011 to provide policy and training standards to implement these requirements.

To support the Department's continuing efforts to employ and sustain a high-performing, engaged, and professional supervisory workforce, I am announcing the publication of the 2019 DoD Managerial and Supervisory Learning and Evaluation Framework (2019 Framework). Developed in collaboration with a team of DoD Component experts, it outlines requirements for Component supervisor training programs. In addition, the Framework imposes evaluation and reporting requirements to ensure compliance with program objectives. The attached 2019 Framework supersedes the 2011 New Supervisor Training Framework and is applicable to all personnel systems.

With your commitment, we can achieve the Department's goal of building and maintaining a high performance culture and engaged workforce. I appreciate your continued leadership, support, and engagement.

A handwritten signature in black ink, reading "James N. Stewart". The signature is fluid and cursive, with a large loop at the beginning and a long, sweeping tail.

James N. Stewart
Assistant Secretary of Defense for Manpower
and Reserve Affairs, Performing the Duties of
the Under Secretary of Defense for Personnel
and Readiness

Attachment:
As stated



DEPARTMENT OF DEFENSE



Defense Civilian Personnel Advisory Service



DEPARTMENT OF DEFENSE 2019 Managerial and Supervisory Learning and Evaluation Framework

This Framework implements the requirements of section 1113 of the National Defense Authorization Act for fiscal year 2010, and section 412.202 of title 5, Code of Federal Regulations (CFR).

It is provided to Department of Defense (DoD) Components, Agencies, and Field Activities to ensure consistent training for civilian and military managers and supervisors of DoD civilian employees.

The 2019 Framework supersedes the 2011 Framework

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CONTACT US:

DOD Managerial & Supervisory Training Program
Talent Development
Defense Civilian Personnel Advisory Service (DCPAS)
4800 Mark Center Drive
Alexandria, VA 22350-1100

Email: dodhra.mc-alex.dcpas.mbx.hrspas-mgr-and-supv-trng@mail.mil

The Defense Civilian Personnel Advisory Service (DCPAS) supports the military departments and Defense agencies as the enterprise leader in the development and delivery of civilian personnel policies and human resources solutions that support and strengthen mission readiness.

INTRODUCTION - MANDATORY TRAINING REQUIREMENTS

Our most important resource: It's not tanks, planes or ships. It's...People. We will never compromise on the quality of our most important resource: the people who have chosen to serve you and serve the nation. They are your sons and daughters, brothers and sisters, husbands and wives. People of whom we are very proud. These are the best of America.¹

In accordance with section 1113 of Public Law 111-84 (the National Defense Authorization Act for fiscal year 2010, ([NDAA FY 2010](#)) and section 412.202 of title 5, Code of Federal Regulations (CFR) ([5 CFR § 412.202](#)), the 2019 Department of Defense (DoD) Managerial and Supervisory (M&S) Learning and Evaluation Framework (2019 Framework) outlines requirements for DoD Components, Agencies, and Field Activities (Components) to develop training programs for all personnel who supervise² DoD civilian employees.

Components must ensure all civilian and military personnel who supervise DoD civilian employees complete training consistent with the 2019 Framework within one year of initial appointment to a managerial or supervisory position and at least once every three years thereafter. See [Appendix](#) for legal citations. Additionally, Components are highly encouraged to develop holistic training, education and professional development (TE&PD) programs and to foster a culture of continuous support for supervisors and managers.

The 2019 Framework includes training topics and learning outcomes based on the legal requirements outlined above and incorporates elements of the Office of Personnel Management (OPM) [Federal Supervisory & Managerial Training Frameworks and Guidance](#), issued September 28, 2015. Training topics relate to performance of skills unique to the roles and responsibilities of the supervisor. This Framework supports the Department's efforts to ensure we employ and sustain a high-functioning, engaged, and professional supervisory workforce committed to maximizing employee performance, accountability, and contributing to high performing organizations.

People are the critical element for maintaining national security. Managing and taking care of people is one of the most important missions in the DoD. With over 900,000 civilian employees, DoD is the largest U.S. Federal agency and has the largest cadre of civilian and military supervisors of civilian employees (estimated 150,000). Part of taking care of our supervisory personnel is ensuring they have the requisite knowledge, skills, and abilities to perform their respective duties and responsibilities.

¹ <https://www.defense.gov/About/DoD-101/>

² Civilian and military personnel in supervisory and managerial level positions.

BACKGROUND

In April 2011, the Department issued its first Framework for New Supervisor Training. The guidance required Components to either adopt the curriculum developed by DoD or ensure Component curriculum aligned with the New Supervisor Training Framework, which outlined required topics and learning objectives. The 2011 DoD New Supervisor Training Framework was reaffirmed by the DoD Civilian Personnel Policy Council (CPPC) in February 2013.

In the spring of 2016, DoD convened an Intra-Agency Working Group (IAWG) to update the 2011 Framework. The IAWG was comprised of 11 DoD Components, including the three Military Departments and eight Defense Agencies, of which two were Defense Intelligence agencies. This 2019 Framework reflects the results of the DoD IAWG and the subsequent concurrence of the DoD CPPC in April 2017.

The 2019 DOD M&S LEARNING AND EVALUATION FRAMEWORK

The 2019 Framework outlines DoD Component training requirements in compliance with 5 CFR section 412.202 and NDAA FY 2010. The Framework is divided into three sub-frameworks: the [Supervisory Skills Sub-Framework](#), the [Managerial Skills Sub-Framework](#), and the [Evaluation Sub-Framework](#). Components are required to provide training that aligns with the Supervisory and Managerial Skills Sub-Frameworks. In addition, Components are required to evaluate their programs and provide annual reports as specified in the Evaluation Sub-Framework.

This Framework applies to all DoD military and civilian supervisors and managers of DoD civilian employees, regardless of personnel system. This includes personnel in Appropriated Fund (APF)³, Non-Appropriated Fund (NAF), National Guard Technician (NG Tech), and Local National (LN)⁴ positions.

WHAT COMPLIANCE LOOKS LIKE

- Supervisors and managers complete Component-provided training in alignment with the Framework;
- Components report on required metrics specified in the Evaluation Sub-Framework;

³ Appropriated Fund includes personnel systems such as Defense Civilian Intelligence Program (DCIPS), DoD Civilian Acquisition Workforce Personnel Demonstration Project, and Science and Technology Reinvention Laboratory Personnel Demonstration Projects. It also includes Wage Grade.

⁴ DoD Components are required to ensure all supervisors and managers of DoD LN employees receive appropriate managerial and supervisory training in accordance with the 2019 Framework. DoD Components are responsible for making sure the training complies with all applicable Status of Forces Agreements, local and country-specific workplace laws and regulations, local labor agreements, local and regional command regulations, and applicable DoD-wide regulations.

2019 DoD Managerial and Supervisory Learning and Evaluation Framework

- Component programs ensure that new supervisors are mentored by experienced supervisors, per section 1113 of NDAA FY 2010⁵; and,
- To the extent that a supervisor or manager fails to complete training within the specified timeframe, his/her supervisor is encouraged to contact their local labor and employee relations staff for guidance on non-compliance.

Components should refer to the [DoD M&S Training Program page](#) on the DCPAS Talent Development web site for additional resources related to the Framework, including:

- Frequently Asked Questions;
- References;
- Additional continuous learning topics and training resources; and,
- Other DoD resources, including the DoD Hiring Managers Toolkit and the Defense Civilian Intelligence Personnel System Training website.

EXPECTED OUTCOMES

The Framework reflects a recognition of the distinct roles, responsibilities, and skill sets necessary for success in supervisory and managerial positions. The intent of the Department's approach for developing the Framework is to maximize Component flexibility and creativity in developing holistic and robust TE&PD programs while adhering to the standards outlined in the Framework. Expected outcomes include:

- Supervisors and managers are fully trained to accomplish the mission of their organization by effectively leading and engaging their workforce in an effective, consistent, respectful, and fair manner;
- Supervisors and managers embrace a continuous learning environment to maximize employee and organizational performance; and,
- Leadership capacity at all levels that supports succession planning and opportunities such as coaching.

⁵ Section 1113 of NDAA FY 2010 states: "The Secretary shall develop...(c) a program under which experienced supervisors mentor new supervisors by sharing knowledge and advice in areas such as communication, critical thinking, responsibility, flexibility, motivating employees, team work, leadership, and professional development; and pointing out strengths and areas for development." In response to the NDAA FY 2010 and 5 CFR 412.202 mandates, the Department developed and deployed a [DoD Mentoring Resource Portal](#) which includes a Mentoring Toolkit that provides DoD Components with ready-to-use resources to establish and strengthen Component-level mentoring programs.

COMPONENT REQUIREMENTS

- Ensure the right supervisor and manager completes the right training and receives the right mentoring at the right time;
- Respect the time and needs of supervisors and managers in the development and delivery of programs in a cost-conscious and deliberate manner;
- Develop holistic TE&PD programs that enable continuous learning for supervisors and managers;
- Evaluate programs to ensure alignment with the organizational strategy;
- Equip supervisors and managers to identify issues and recognize situations where advice should be sought, in a timely manner, from agency Human Resources (HR) and/or General Counsel staff;
- Foster a culture of ongoing support for managers and supervisors; and,
- Track achievement of learning outcomes.

SUPERVISORY SKILLS SUB-FRAMEWORK

Components are required to develop training in alignment with this sub-Framework, with a specific focus on the skill sets necessary to perform duties and responsibilities in supervisory positions. The Supervisory Skills Sub-Framework applies to all supervisory personnel. (See [Appendix](#) for definitions of supervisor and manager). It includes mandatory topics and learning outcomes which tie directly to [5 CFR § 412.202](#) and section 1113 of [NDAA FY 2010](#).

This Sub-Framework includes examples of leadership competencies, as found in the [DoD Civilian Leader Development Continuum](#). These competencies are offered as examples only and may be used at the discretion of each DoD Component.

Please refer to Human Resources advisors for just-in-time guidance, as appropriate.

2019 DoD Managerial and Supervisory Learning and Evaluation Framework

SUPERVISORY SKILLS SUB-FRAMEWORK

Topics	Supervisory Skills Sub-Framework Learning Outcomes	Examples of DoD Leadership Competencies	References
Performance Goals, Objectives, & Appraisals	Supervisors will be able to establish, communicate and review employee performance goals, objectives, and appraisals on a regular and recurring basis	Human Capital Management (HCM) Developing Others DoD Corporate Perspective	NDAA FY 2010 5 CFR § 412.202 Leader Continuum
Merit System Principles	Supervisors will be able to adhere to merit system principles to improve organization performance	HCM Leveraging Diversity	NDAA FY 2010 5 USC § 2301 Leader Continuum
Mentoring & Motivating Employees	Supervisors will be able to mentor and motivate employees to improve performance and productivity	HCM Developing Others	NDAA FY 2010 5 CFR § 412.202 Leader Continuum
Fairness, Respect, Equal Opportunity, Quality of Work	Supervisors will be able to foster a work environment characterized by fairness, respect, equal opportunity, and attention to the quality of the work of employees	HCM Leveraging Diversity Conflict Management	NDAA FY 2010 Leader Continuum
Handling Unacceptable Performance	Supervisors will be able to effectively manage employees with unacceptable performance	HCM Conflict Management Developing Others	NDAA FY 2010 5 CFR § 412.202 Leader Continuum
Hostile Environment, Reprisals, Harassment	Supervisors will be able to address reports of a hostile work environment, reprisal, or harassment of or by another supervisor or employee	HCM Conflict Management DoD Corporate Perspective	NDAA FY 2010 Leader Continuum
Prohibited Personnel Practices	Supervisors will be able to identify prohibited personnel practices	HCM DoD Corporate Perspective	NDAA FY 2010 5 USC § 2302 Leader Continuum
Labor Relations and Employee Rights	Supervisors will be able to identify employee collective bargaining and union participation rights, and the processes and procedures used to enforce employee rights	HCM Conflict Management DoD Corporate Perspective	NDAA FY 2010 Leader Continuum
Hiring Principles and Authorities	Supervisors will be able to identify appointment flexibilities and hiring principles and authorities	HCM Leveraging Diversity DoD Corporate Perspective	NDAA FY 2010 Leader Continuum
Workforce Incentives	Supervisors will be able to identify workforce incentives	HCM Developing Others	NDAA FY 2010 Leader Continuum

MANAGERIAL SKILLS SUB-FRAMEWORK

Components are required to develop training in alignment with this sub-Framework with a focus on the skill sets necessary to perform duties and responsibilities in managerial positions. (See [Appendix](#) for definitions of supervisor and manager). The Managerial Skills Sub-Framework includes mandatory topics and learning outcomes which tie directly to [5 CFR § 412.202](#) blended with select elements of the OPM [Federal Supervisory & Managerial Training Frameworks and Guidance](#), issued September 28, 2015.

Learning outcomes are outlined for each topic along with examples of leadership competencies aligned with the [DoD Civilian Leader Development Continuum](#). These competencies are offered as examples only and may be used at the discretion of each DoD Component.

Please refer to Human Resources advisors for just-in-time guidance, as appropriate.

2019 DoD Managerial and Supervisory Learning and Evaluation Framework

MANAGERIAL SKILLS SUB-FRAMEWORK

Topics	Managerial Skills Sub-Framework Learning Outcomes	Examples of DoD Leadership Competencies	References
Mentor Employees	Managers will be able to mentor, encourage development, and improve performance	Developing Others HCM Partnering	5 CFR § 412.202 Leader Continuum
Improve Employee Performance and Productivity	Managers will monitor programs and activities to maintain optimum performance	HCM Developing Others	5 CFR § 412.202 Leader Continuum
Conduct Performance Appraisals	Managers will be able to establish, communicate and review employee goals, objectives, and appraisals on a regular and recurring basis	HCM Developing Others	5 CFR § 412.202 Leader Continuum
Handle Unacceptable Performance	Managers will be able to effectively manage employees with unacceptable performance	HCM Developing Others	5 CFR § 412.202 Leader Continuum
Manage Self	Managers will use time management, personal accountability, emotional intelligence, and adaptability to improve personal and organizational performance	Accountability Resilience Continual Learning	OPM Guidance September 2015 Leader Continuum
Manage Others	Managers will use delegation, communication, developmental coaching and feedback, and fostering employee engagement to improve organizational performance	Creativity and Innovation Interpersonal Skills Influence/Negotiating Developing Others	OPM Guidance September 2015 Leader Continuum
Manage Organizational Systems	Managers will be able to manage programs, manage change, use systems thinking, and apply complex decision making to improve organizational performance	Financial Management Technology Management Vision Systems Thinking	OPM Guidance September 2015 Leader Continuum

EVALUATION SUB-FRAMEWORK

[DoD Instruction \(DoDI\) 1400.25 Volume 410, “DoD Civilian Personnel Management System: Training, Education, and Professional Development,”](#) requires Components to “conduct annual reviews of training, education and professional development (TE&PD) activities and programs, integrate TE&PD activities and programs with other personnel management and operating functions, and conduct periodic audits of TE&PD activities and programs for civilian employees to ensure compliance with the policies, procedures, and information requirements in this volume.”

The Evaluation Sub-Framework outlines required metrics related to “Who needs what training and when? And, did they complete it?” Refer to the [DoD M&S Training Program web page](#) for examples of other Key Performance Indicators (KPIs) (qualitative and quantitative) for Components to consider when conducting program reviews. These KPIs may help identify trends to provide a more in-depth understanding of how M&S training programs are performing and identify potential areas to improve training curriculum.

This Sub-Framework includes personnel data and data relating to training DoD supervisors of civilian employees in accordance with the Framework.⁶ This and similar data may be requested from Components at any time during the year as reporting requirement arise.

Program reviews should include examining results of training through feedback from participants. Additionally, Components are encouraged to evaluate changes in individual behavior resulting from training as well as overall changes in organizational effectiveness. Components may want to conduct focus groups, interviews or surveys as part of their evaluation efforts and use those findings to supplement statistical results to improve training curriculum.

The right mix of value-added statistical, quantitative, and qualitative information added to evaluation methods may provide a more complete picture of a Component’s environment, may suggest opportunities for learning interventions, including training, and may provide evidence regarding whether the Department is on track to achieve stated expected outcomes.

⁶ Training data must reflect training in compliance with the Framework.

ANNUAL REPORTING REQUIREMENTS ⁷

Required Metrics Reported Annually to DoD (Fiscal Year data)
Number (#) civilian supervisors and managers (“supv/mgr”) of DoD civilian employees.
civilian supv/mgr within 1 year of initial appointment to a supv/mgr position (supv/mgr probation).
and percentage (%) civilian supv/mgr on supv/mgr probation who completed initial supv/mgr training within 1 year of appointment.
and % of civilian supv/mgr who completed refresher training.
military supervisors of DoD civilian employees.
and % military supervisors who completed supervisory training.
of external (other Federal/non-DoD) civilian supervisors who supervise DoD civilian employees.
and % external supervisors who completed supervisory training.
Does your Component provide M&S training in alignment with the Framework? Yes or No. Self-report.
Does your Component provide separate Supervisory Skills and Managerial Skills training in alignment with each Sub-Framework? Yes or No.
If not compliant, where are the gaps, what is your strategy and timeline to fill gaps? Please provide other general comments, as appropriate.

⁷ Total Compliance assumes: a) Components provide M&S training in alignment with the Framework; and b) supervisors and managers complete training in a timely manner or are on schedule to complete in a timely manner, in accordance with the Framework. Metrics are subject to change.

APPENDIX

The primary references for the 2019 Framework are listed below. This is not an all-inclusive list. For more detailed information, please refer to the M&S Training Program [web page](#), or consult your servicing legal and human resources offices.

1. [Title 5 CFR, Section 412.202](#). Development of individuals in supervisory, managerial and executive positions.”
2. [Public Law 111-84, National Defense Authorization Act for Fiscal Year 2010, Section 1113](#). Supervisory training and development requirements.
3. [5 U.S.C. Section 3321](#). Competitive Service Probationary Period.
4. [5 CFR § 315.902](#) implements requirements found in [5 U.S.C. Section 3321](#).
5. [Title 5 U.S.C. § 7103 \(a\)\(10\)](#) defines a “supervisor” for the purposes of the Federal Service Labor-Management Relations Statute. This definition can apply to military supervisors of DoD civilian employees.
6. [Title 5 U.S.C. § 4101\(4\), Training](#).
7. [OPM, General Schedule Supervisory Guide, HRCD-5 June 1998, April 1998](#). See definitions of managerial and supervisory positions and organizational definitions
8. [OPM, Federal Wage System Job Grading Standard for Supervisors](#), TS-66 December 1992.
9. [DoDI 1400.25, Volume 1407, “DoD Civilian Personnel Management System: Non-Appropriated Fund Classification](#),” January 6, 2012.
10. [DoDI 1400.25, Volume 2007, “DoD Civilian Personnel Management System: Defense Civilian Intelligence Personnel System \(DCIPS\) Occupational Structure](#),” April 17, 2012.
11. [The Guide to Data Standards, Part A: Human Resources](#), November 15, 2014.
 - Supervisory Status Code 2 - Supervisor or Manager
 - Supervisory Status Code 4 - Supervisor (CSRA – Civil Service Reform Act)

Please refer to Human Resources advisors for guidance specific to the managerial and supervisory population.