



NIH TRAINING COLLABORATIVE FORUM

Wednesday • October 14, 2009

Agenda

1:00	Welcome Kristen Dunn-Thomason, Director, NIHTC	2:00	Break/Networking
1:05	Mandatory Training Evaluation Update Kristen Dunn-Thomason, Director, NIHTC	2:20	Competencies FY 10 Update: Transitioning to Functions Kristi Goeltzner, Program Manager, NIHTC
1:15	Linking NIH Business Objectives to Training: Risk Management and the ICs Dr. Karen Hardy, Senior Management Analyst, OMA	2:35	Intern Programs Update Kristen Dunn-Thomason, Director, NIHTC
1:45	LMS Update Kim Hill, LMS Project Lead, NIHTC	2:45	NIHTC FY 10 Course Highlights Shelley Lanier, Program Manager, NIHTC
		3:00	IC Info Exchange/Announcements



OFFICE *of* HUMAN RESOURCES

Mandatory Training Evaluation Update

Kristen Dunn-Thomason

Director, NIHTC



Linking NIH Business Objectives to Training: Risk Management and the ICs

Dr. Karen Hardy
Senior Management Analyst
Office of Management Assessment, OM

NIH Training Collaborative Forum Meeting
October 14, 2009

What's All The Chatter About?

Stolen
Laptops

Enron

Freddie
Mac



AIG

Computer
Hacking

Fannie
Mae

Risk Management

Risk

- A risk is the possibility that an uncertain event or condition may occur and negatively impact an organization.

Risk Management

- Risk management is a **continuous process**, carried out by the members of an organization, designed to proactively identify and mitigate risks to help promote the achievement of the organization's objectives, strategy, and mission.



Risk Management- Key Points

- Not a new concept in the Federal arena.
- Dates back to the late 18th Century when the government began to develop policies to deal with risks thought to undermine trade and investment.
- Many agencies are managing risks that are aligned with their missions or engaging the discipline as a common management practice.

Examples of Risk Management in Government

Food and Drug Administration (FDA)	Health Risk: Responsible for protecting the public health
Department of Defense (DoD)	Security Risk: Security to military forces
Department of Homeland Security (DHS)	Security Risk: Critical infrastructure related to ports
Government National Mortgage Association (Ginnie Mae)	Financial Risk: Management of expanded affordable housing
National Transportation Safety Board (NTSB)	Transportation Risk: Investigation of transportation accidents
United States Postal Service (USPS)	External Risks: to service delivery (Sept. 11, West Coast Wildfires, etc)



Risk Management in Government

Challenges in Risk Management

- Often practiced in silos and stovepipes.
- Not a part of the strategic decision-making process.
- Lack of Management Support.

Risk Management in Government

What is New?

- Managing Risk across the entire enterprise

Enterprise Risk Management (ERM) is

“A process, effected by an entity’s management and other personnel, **applied to strategy setting and across the enterprise...**”

At NIH, what impact do the risks identified within your organization have on the overall mission and objectives of the agency?

Why Risk Management at NIH?

Key Drivers:

- **Sarbanes-Oxley Act** (SOx) of 2002- Emphasizes transparency and accountability over financial reporting in corporations.
- **OMB Circular A-123-** Revised in December 2004 to strengthen management's responsibility for internal control.
- **NIH Director** wanted a program that would systematically and periodically assess and correct internal control deficiencies and be **proactive** about events that could have a negative impact on the NIH mission and objectives.

Manage the Surprises! How is that done?

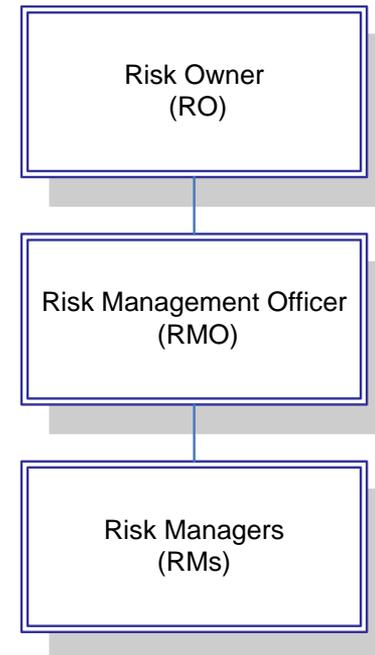
NIH Risk Management Program

- An **agency-wide** approach to managing risks (standardized tools and processes)-*Guidebook*.
- Agency **segmented** into units to make assessing risks manageable.
- **Supported** and advocated by the NIH Director and senior management across the agency (EOs, IC Directors).
- Established **roles** and responsibilities.
- **Governance and Oversight** (Risk Management Council, Senior Assessment Team, Risk Management Policy).



Key Roles

- **Senior Assessment Team (SAT)**-is the primary governance body established at NIH to provide oversight and accountability regarding the NIH RM Program.
- **Risk Management Council (RMC)**-a group of NIH senior leaders established to advise and support the SAT on policies, procedures and operational issues related to the RM Program.
- ***Risk Management Officer-** designated by the IC Director. Responsible for seeing that risk management activities within the AU are being conducted effectively. The RMO works closely with the Risk Management Champion and Risk Managers within their organization.
- ***Risk Management Champions (RMCh)** - are responsible for executing day-to-day activities to facilitate the RM Program within the AU.



Strategic Objectives of the NIH Risk Program

Objectives

OM Strategic Administrative Management Plan

Risk Management Program's Strategic Goal

Develop and implement a systematic and continuous risk management program that is designed to proactively identify, mitigate, reduce or eliminate risks and enable the achievement of the NIH mission

Strategic Objective

1

Create a culture of risk awareness

Strategic Objective

2

Develop and implement a standardized Risk Management Program

Strategic Objective

3

Maintain a standardized Risk Management Program

Strategic Objective

4

Provide consistent and prioritized risk data for decision making

Strategic Objective

5

Evaluate and assess the Risk Management Program





Key Strategic Objective: Create a Culture of Risk Awareness

Outcome: Provide Risk Management Program Training Opportunities.

Approach: Link Training to Business Objectives and Results

- Ensure that Training = Enhanced Performance and Improved Business Results.
- Develop Training Opportunities that include Performance-Based Instruction Techniques (e.g. Demonstration of Mastery).
- Offer training opportunities that reflect a variety of subjects related to Risk Management.



Accomplishments

- Trained over 400 NIH Managers on the Risk Management Methodology (standardized tools and processes).
- Ongoing open-enrollment, two-day Internal Control Course.
- Conducted post-performance based survey to assess training effectiveness on risk-related tasks.

NIH Competency Model

- The NIH Leadership & Management Competencies are expected of all GS 13, 14 and 15 employees in administrative occupations.
- **“Risk Management”** is a key behavior for the Strategic Decision-Making competency.
- Key Behaviors:
 - Examines and defines factors that could adversely affect project task completion, delivery of contractual work products or achievement of customer satisfaction
 - Ensures compliance with contractual obligations
 - Quantifies and assigns probabilities to risks and opportunities (level and likelihood)
 - Develops solutions to mitigate risk and maximize value

In order to drive and sustain a risk program and practice sound risk management, those responsible for leading risk activities within an organization need to develop a specific set of competencies and skills”

- Risk and Insurance Management Society

The NIH Risk Management Academy

*Proposed Courses

(OMA000) Online Risk Management General Awareness Course
(OMA001) Internal Controls: Meeting Federal Requirements for Accountability (CPE Credit Course)
(OMA002) Understanding and Complying with Manual Chapter 1750 * This course provides an overview of the policy for the NIH Risk Management Program. Learn what the requirements are and how organizations can ensure successful compliance with the policy. <i>This can be a 1-2 hour portable presentation.</i>
(OMA003) Guidebook 101: An Introduction to the NIH Risk Management Program * This comprehensive course covers in depth information about the NIH RM Program and how to implement and manage a Risk Management program. Anyone interested in obtaining a deeper understanding of the program management process from soup to nuts would enjoy this lively review of the Guidebook. (1 day)
(OMA004) Process Mapping* In partnership with the Office of Research Services Division of Quality Management, this course provides an overview of the process mapping technique. Knowledge and techniques gained from this course will help the participant conduct control assessments as part of the NIH Risk Management Program.
(OMA005) Risk Management: An Overview for Administrative Officers * A hands-on, interactive course that describes the role AOs play in the risk management process at NIH. The course will facilitate the development of skills identified in the NIH Core Competency model for employees in the GS-341 series
(OMA006) Introduction to GRC: Risk Management Database for Users *
(OMA007) Risk Simulation Software for Operational Risks*
(OMA008) Risk Management for the NIH Executive* This course covers the strategic aspects of risk management and how NIH Executives can implement and manage an effective Risk Management Program within their organization. (3 hours)
(OMA009) Studying for the NIH Risk Management Certification*



Collaboration= Achievement of Program Objectives

- NIH Training Center
- Outside Vendors
- Office of Research Services
- NBS Program Office
- RMOs and Risk Management Champions
- AOs
- Training Coordinators

Training Coordinators

Opportunities

- Expand working relationship with ICs, EOs and OMA.
- Become a partner in creating a culture of Risk Awareness by communicating Program training activities.

Benefits

- Kept in-the-loop about key management initiatives.
- Added-value in service delivery.

Questions?

Dr. Karen Hardy
Office of Management Assessment
khardy@mail.nih.gov
301-402-3510



OFFICE *of* HUMAN RESOURCES

LMS Update

Kim Hill

LMS Project Lead, NIHTC

LMS Update

- Upgrades
- Training
- Training Rollout Form
- Competencies
- Moving Forward
- Questions & Feedback

2 Major Upgrades

- 5.4 – early June
 - Easier password reset
 - Enhanced search capability
 - Additional functionality for learners and administrators
- ‘Performance’ – early September
 - Department’s ePMAP (NIH not using) – hidden via menu configurations
 - Other menu configurations for easier use by learners and administrators
 - Technical patches

HHS Learning Portal

Please Log In:

Log In ID / Personnel ID

Password

[Look up your ID](#)

[Forgot your password?](#)

[Need help?](#)

LOG IN INSTRUCTIONS

PLEASE READ THE LOG IN INSTRUCTIONS AND ATTEMPT TO LOG IN TO THE SYSTEM BEFORE CONTACTING THE HELP DESK

<https://hhsu.learning.hhs.gov/lms/login.asp>

NIH USERS ONLY
should use these log in instructions:

<http://trainingcenter.nih.gov/pdf/lms/EmployeeLogOnInstructions.pdf>

Help Desk: 1-866-246-5440 or
DHHSHelp@gpworldwide.com

Training

- Upgrades have both been significant enough to require revision of all materials
- Current administrators
 - No requirement to re-train
 - Revised materials made available for download
- IQFY10 schedule in the LMS for registration



Training Rollout Form

<u>Request for LMS Training Rollout Support</u>	
<u>*Required to review request:</u>	
This notice for the LMS Help Desk must be submitted to the NIH Training Center at LMSSupport@mail.nih.gov at least 60 days before the training start date.	
<input type="checkbox"/> GP PM	
<input type="checkbox"/> GP Helpdesk PM	
<input type="checkbox"/> Other _____	
* TO BE COMPLETED BY THE NIH TRAINING CENTER *	
Date submitted to HHS U & GP:	
Submitted by: (name, title)	
Start date for training:	
CONTACT INFORMATION	
Contact name:	
Email:	
Telephone number:	
COURSE INFORMATION	
Course name:	
Course code/Catalog category:	
Timeframe & date(s):	

Training Rollout Form

- Rollout NEW training OR assign EXISTING training
- Several 'disaster' examples – no coordination with LMS team or Help Desk
- Successful GovTrip registration rollout
 - GovTrip working with the LMS team leading up to
 - Met with Help Desk staff
- Win – win – win
 - You have a successful rollout
 - Your users get informed guidance from Help Desk
 - LMS Team watches out for your training initiative

Competencies

3 custom reports to get your data out

1. **Competency Assessment by Competency Detail**

This report will provide competency assessment information on learner, by competency.

2. **Competency Assessment by Job Series Detail**

This report will provide competency assessment information on learner, by job type.

3. **Competency Assessment by Job Series Summary**

This report will provide a summary of competency assessment information on learners, by job type.

Competency Assessment by Competency Detail

Organizations | Positions | Competencies | Places | **Reports** | Learning Plans

Reports

Report Parameters - Competency Assessment by Competency Detail

* - required

Comp Name*
 Organ
 Pay Gr
 Start D
 End D



Competency Assessment by Competency Detail Report

Competency Name: NIH Communications
 Organization ID: HNA
 Pay Grade:
 Start Date: 10/1/2008
 End Date: 9/30/2009

LAST NAME	FIRST NAME	USERNAME	Pay Grade	ORG ID	TARGET LEVEL	MANAGER LEVEL	SELF LEVEL	HELD LEVEL	GAP	ASSESSMENT DATE
			14	HNAM	4	0	5	5	0	02/19/2009
			13	HNAM	5	0	5	5	0	06/11/2009
			15	HNAM	5	0	5	5	0	03/25/2009
			14	HNAM	4	0	4	4	0	03/20/2009
			14	HNAM	5	0	4	4	-1	04/17/2009
			14	HNAM	3	0	5	5	0	05/21/2009
			15	HNAM1	5	0	5	5	0	09/28/2009
			07	HNAM1	1	0	1	1	0	09/28/2009
			09	HNAM1	3	0	1	1	-2	08/17/2009
			07	HNAM1	3	0	3	3	0	09/29/2009
			11	HNAM8	2	0	2	2	0	08/24/2009
			07	HNAM8	5	0	1	1	-4	07/29/2009
			09	HNAM8D	2	0	3	3	0	07/30/2009
			13	HNAM8D	4	0	4	4	0	07/23/2009
			03	HNAMA	1	3	1	2	0	07/15/2009
			11	HNAMA2	4	0	3	3	-1	08/11/2009
			07	HNAMA2	1	0	3	3	0	08/11/2009
			11	HNAMA2	4	0	4	4	0	07/17/2009
			12	HNAMA2	3	0	3	3	0	09/29/2009
TOTALS					64	3	62	63	-8	



Organizations | Positions | Competencies | Places | **Reports** | Learning Plans

Reports

Report Parameters - Competency Assessment by Job Series Detail

* = required

Job Series*

Organization ID*

Pay Grade

Start Date	LAST NAME	FIRST NAME	USERNAME	Pay Grade	ORG ID	ASSESSMENT DATE	COMPETENCY NAME	TARGET LEVEL	MANAGER LEVEL	SELF LEVEL	HELD LEVEL	GAP	TOTAL GAP
End Date				12	HNAM								-61
							NIH Leveraging Technology	4	0	0	0	-4	
							NIH Continuous Improvement	4	0	0	0	-4	
							NIH Teamwork	5	0	0	0	-5	
							NIH Continuous Learning and Self-Development	5	0	0	0	-5	
							NIH Initiative	4	0	0	0	-4	
							NIH Knowledge Sharing	5	0	0	0	-5	
							NIH Adaptability	4	0	0	0	-4	
							NIH Organizational Awareness	4	0	0	0	-4	
							NIH Customer Service	5	0	0	0	-5	
							NIH Professional Integrity	5	0	0	0	-5	
							NIH Communications	4	0	0	0	-4	
							NIH Resilience	4	0	0	0	-4	
							NIH Problem Solving	4	0	0	0	-4	
							NIH Results Orientation	4	0	0	0	-4	
				12	HNAMA2	09/25/2009							-4
							NIH Political Savvy	5	0	4	4	-1	
							NIH Contract Negotiation and Source Selection	3	0	2	2	-1	
							NIH Project Management	4	0	3	3	-1	
							NIH Leveraging Technology	3	0	2	2	-1	



Organizations Positions Competencies Places **Reports** Learning Plans

Reports

Report Parameters - Competency Assessment by Job Series Summary

* = required

Job Series*

Organization ID*

Pay Grade

COMPETENCY NAME	% BELOW	% TARGET	% ABOVE	# PP ASSESSED BELOW	# PP ASSESSED ON TARGET	# PP ASSESSED ABOVE	TOTAL # ASSESSED
NIH Adaptability	100%	0%	0%	1	0	0	1
NIH Administrative Support	31%	66%	3%	9	19	1	29
NIH Communications	100%	0%	0%	1	0	0	1
NIH Continuous Improvement	100%	0%	0%	1	0	0	1
NIH Continuous Learning and Self-Development	100%	0%	0%	1	0	0	1
NIH Contract Negotiation and Source Selection	100%	0%	0%	1	0	0	1
NIH Customer Service	100%	0%	0%	1	0	0	1
NIH Initiative	100%	0%	0%	1	0	0	1
NIH Internal Resource Management	17%	31%	52%	5	9	15	29
NIH Knowledge Sharing	100%	0%	0%	1	0	0	1
NIH Leveraging Technology	100%	0%	0%	2	0	0	2
NIH Organizational Awareness	100%	0%	0%	1	0	0	1
NIH Policy and Procedure Awareness, Development and	21%	34%	45%	6	10	13	29
NIH Political Savvy	100%	0%	0%	1	0	0	1
NIH Problem Solving	100%	0%	0%	1	0	0	1
NIH Professional Integrity	100%	0%	0%	1	0	0	1
NIH Project Management	100%	0%	0%	1	0	0	1
NIH Project Program Administration	21%	17%	62%	6	5	18	29
NIH Qualitative/Quantitative Analysis	21%	41%	38%	6	12	11	29
NIH Resilience	100%	0%	0%	1	0	0	1
NIH Results Orientation	100%	0%	0%	1	0	0	1
NIH Teamwork	100%	0%	0%	1	0	0	1



Moving Forward

- Detailed review of HR system interfaces
- Detailed look at reports
 - Function of current reports
 - Custom development of new reports
- Single sign-on
- NIH-wide LMS Advisory Board – IC participation will be needed! (AO and training staff)
- NBS interface (NIHITS decommission prerequisite)

Questions & Feedback

LMSSupport@mail.nih.gov





BREAK & NETWORKING!

Please regroup in 20 minutes.



OFFICE *of* HUMAN RESOURCES

Competencies: Transitioning to Functions

Kristi Goeltzner

Program Manager, NIHTC

Agenda

- Background
- Transition to Functions
- Changes to associated resources
- Competencies in Practice



Background Information/Issue

- Feedback from FY08-09 competencies rollout
 - Competency models were limiting and/or generic
 - All individuals within an occupation were expected to have the same competencies
 - No additional competencies were taken into consideration
 - Flexibility was not inherent in the system

Why the Transition and How is it Different?

Impact: Each position within NIH will have a unique and specific set of competencies assigned to it

Occupational Series	Functions
<ul style="list-style-type: none">• Specific set of competencies identified for ALL individuals within the series	<ul style="list-style-type: none">• Competency Dictionary which contains all of the NIH competencies so that competencies are selected based upon the position
<ul style="list-style-type: none">• Multiple technical competencies for occupational series	<ul style="list-style-type: none">• 1-3 technical competencies that accurately reflect the function
<ul style="list-style-type: none">• Not all competencies are applicable to every position within the series• Redundancy/overlap between occupations	<ul style="list-style-type: none">• Flexibility to select non-technical and technical competencies that accurately reflect what is required within the position

Impact on the ICs

- **Pros:**
 - Employee – Clearly identifies how to be successful in position and competencies needed to reach new goals
 - Supervisor – Clearly identifies requirements of the positions for current employees to excel towards and provides standards to determine most qualified applicants
- **Cons:**
 - Education around new process may need to occur
 - May require more workload up-front in developing position-specific competency models

Proficiency Scale

Scale	Proficiency Level	Description
1	Fundamental Awareness (basic knowledge)	You have a common knowledge or an understanding of basic techniques and concepts.
2	Novice (limited experience)	You have the level of experience gained in a classroom and/or experimental scenarios or as a trainee on-the-job. You are expected to need help when performing this skill.
3	Intermediate (practical application)	You are able to successfully complete tasks in this competency as requested. Help from an expert may be required from time to time, but you can usually perform the skill independently.
4	Advanced (applied theory)	You can perform the actions associated with this skill without assistance. You are certainly recognized within your immediate organization as "a person to ask" when difficult questions arise regarding this skill.
5	Expert (recognized authority)	You are known as an expert in this area. You can provide guidance, troubleshoot and answer questions related to this area of expertise and the field where the skill is used.

Suggested Proficiency Map

Grade Level Suggested Proficiency Map

Occupational Series
Suggested Proficiency
Maps



Grade	Recommended Target Proficiency Level
GS-1	1
GS-2	1
GS-3	1
GS-4	1 / 2
GS-5	2
GS-6	2
GS-7	2 / 3
GS-8	3
GS-9	3
GS-10	3 / 4
GS-11	3 / 4
GS-12	4
GS-13	4
GS-14	4 / 5
GS-15	5

How Can Functional Competencies Be Used?

Employee A	Employee B
Position: Public Affairs Specialist	Position: Public Affairs Specialist
Grade Level: GS – 13	Grade Level: GS – 11
<p>Duties:</p> <ul style="list-style-type: none"> • Developing and presenting briefs for senior leadership • Acting as team lead to disseminate work tasks • Maintains effective work relationships • Provides periodic oversight to the office’s website. 	<p>Duties:</p> <ul style="list-style-type: none"> • Develops briefs to present to senior leadership • Develops communications materials for the general public • Researches scientific advances to be released to the public • Updates all communications on the office’s website
<p>Competencies and Proficiency Level:</p> <ul style="list-style-type: none"> • Message Delivery and Development (Level 5) • Scientific Knowledge for Administrative Staff (Level 4) • Leveraging Technology (Level 2) • Delegation (Level 4) • Motivating Others (Level 4) 	<p>Competencies and Proficiency Level:</p> <ul style="list-style-type: none"> • Message Delivery and Development (Level 3) • Technical Writing (Level 4) • Data Gathering and Analysis (Level 4) • Scientific Knowledge for Administrative Staff (Level 3) • Leveraging Technology (Level 4)

Resources

- Competencies Website:
<http://hr.od.nih.gov/workingatnih/competencies/default.htm>
- Your IC Competency Contact
- Kristi Goeltzner, NIHTC, Competencies Program Manager –
301.594.8199 porterkr@mail.nih.gov



Career Development Programs at NIH



Kristen Dunn-Thomason
Director, NIH Training Center

Agenda



Overview of programs

- Major components
- Differences between programs
- Employee eligibility

Major Programs



- Management Intern
- Presidential Management Fellow
- Administrative Fellows Program
- Emerging Leaders (in review at HHS)
- Stride (no current interns, looking at new upward mobility program)

Common across programs



- Seeking to develop high potential staff
- Leadership development focus (leadership can be done at all levels)
- Mentors
- Rotations
- Management Seminar Series (MSS)
- Training
- High-level sponsorship (ATC, etc.)
- Competitive application process
- Individual Development Plans (IDPs)
- 2 years

Types of positions



- Budget and Finance
- General Administration
- Information Technology
- Management and Program Analysis
- Grants Management
- Contracts and Procurement
- Human Resources
- Health Sciences Administrator

Management Intern Program (MI)



- Internal NIH Program
- Established 1957
- Started out one year, now two
- Geared toward people looking for a career change
- Does not require a degree
- \$2500/year training budget

Presidential Management Fellows (PMF)



- Outside hires (though occasional inside)
- Established 1982
- Must apply within one year of receiving advanced degree
- OPM hiring process (national competition)
- March/April job fair with ~700 finalists
- NIH hires at-large and designated
- Most enter at GS9, graduate GS12, FPL GS13
- One outside rotation
- Excepted service

Administrative Fellows Program (AFP)



- Hired from outside (though some inside)
- Established 2007
- 2-year duration, NIH program
- Enter at GS-9, FPL at GS-12
- All interns designated to jobs and offices
- Not centrally funded
- Committee structure
- Excepted service
- Spring recruitment, EOD between June and September

Additional Information...



For additional information, please visit
<http://internships.info.nih.gov/main.html>

NIH Training Center
301-496-6211



OFFICE *of* HUMAN RESOURCES

NIHTC FY10 Course Highlights

Shelley Lanier

Program Manager, NIHTC



IC Information Exchange & Announcements

Thank you for your participation!

Mark your calendars for our next Forum!

Date: January 26, 2010 (tentative)

Time: 1:00 – 3:30pm

Location: Rockledge II • Room 9112-9116

Interested in speaking or have a topic idea?

Elena Juris – jurise@mail.nih.gov

Janice Gonzalez – gonzalezjan@mail.nih.gov