

**SENIOR EXECUTIVE SERVICE CANDIDATE DEVELOPMENT
PROGRAMS: A DESCRIPTIVE ANALYSIS OF
FIVE FEDERAL AGENCIES**

by

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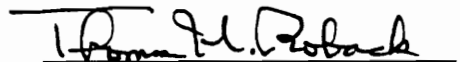
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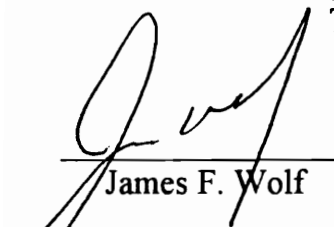
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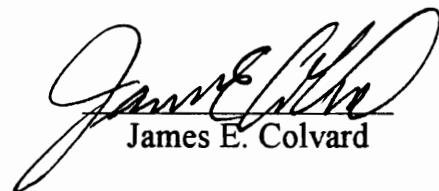
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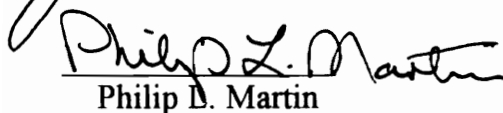
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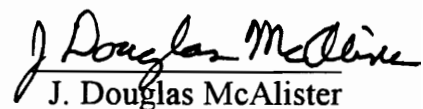
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**Committee Chairman: Thomas H. Roback
Public Administration & Public Affairs**

(ABSTRACT)

In 1994, the Federal Government is projected to face a critical personnel problem that a large number of Senior Executive Service members will be eligible for retirement. The Senior Executive Service Candidate Development Program (SESCDP) is a major program designed to train potential candidates for the Senior Executive Service positions. The Office of Personnel Management (OPM) provides agencies with a broad guideline so that they are able to design their own development programs that best suit their needs and circumstances. After the completion of the program, the candidates' qualifications will be reviewed by the OPM's Qualification Review Board. The qualified candidates, then, will receive certifications from the Qualification Review Board. However, this does not guarantee the candidates the SES placement.

The study investigates the SESCO in several federal agencies, namely, the Department of Interior, the Department of Labor, the Department of Veteran Affairs, and the Small Business Administration. Specifically, it examines the agencies' values and philosophy (basic assumptions) of training the executives, the agencies' succession planning, their implementation of the programs (the strengths

and weaknesses), and their relationships with the OPM. One major purpose of the study is to examine the SESCDPs currently operated by the five federal agencies.

Based on government documents and an in-depth interview with the policy makers, experts, program coordinators, and participants, the data was analyzed across all five cases and in relation to Office of Personnel Management's framework. Through various methods of analysis--system analysis, strategic management, and other related executive development theories and learning theories, the results show four major issues of the federal agency SESCDP: 1) the lack of systematic program; 2) the lack of strategic succession planning; 3) the lack of career development planning and; 4) the impacts of the Clinton Administration on the program implementation. To counter the above problems, the author recommends that the federal executive development program should be systematically designed to provide career development to every federal employees at all levels and a system of strategic succession planning should be implemented governmentwide.

ACKNOWLEDGMENTS

Clearly, this research could not be completed without the help of federal employees who have been dealing with the Senior Executive Service Candidates Development Program for years. The willingness of the policy analysts, program coordinators, directors, candidates, and graduates of Office of Personnel Management, the Department of Interior, the Department of Labor, the Department of Transportation, the Department of Veterans Affairs, and the Small Business Administration in providing valuable information for this research is truly appreciated.

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CHAPTER I

INTRODUCTION

FOCUS OF THE STUDY

In late 1980s, the Hudson Institute and the Volcker Commission reported that the quality of the Federal Government was declining. They predicted that a "quiet crisis" in the federal workforce regarding demographics, working conditions, pay and benefits would deteriorate governmental competence. In addition, they predicted that, by the year 1994, the government would also experience the largest exodus of SES members, due to the adverse effects of the pay increases approved by the President in 1990.

Today, the morale problems have been addressed quite often, such as by the Hudson Institute in *Workforce 2000* (1987) and in *Civil Service 2000* (1988), and by the National Commission on the Public Service (the Volcker Commission). The Hudson Institute has listed various changes in the federal workforce between now and the year 2000 which will deteriorate the effective maintenance of governmental competence. One of the challenges is the demographic changes in the federal workforce. On one hand, there will be slow growth in the number of young workers entering the workforce due to the baby bust generation. The labor force will increase by 1 percent annually in the 1990s. On the other hand, due to the baby boom generation, the median age of federal workers is likely to be high. Taking into account the above situations, the government finds it difficult to hire able and motivated workers with fresh and adaptive attitudes.

The Institute also predicts that women and minorities will be the important workforce entering the federal government in the future. The government, thus, will face a new challenge in providing benefits for women and minorities in terms of training, daycare for children, and especially equal employment opportunity to attract and to keep the best qualified people.

Together with the demographic changes expected by the year 2000, the federal government will have difficulty recruiting and retaining superior candidates. Besides the decline in public esteem for civil servants and the prestige of government jobs, government pay, especially executive pay, is not competitive with the private sector. The problems of pay, recruitment, and retention were addressed and emphasized recently by the National Commission on the Public Service (Volcker Commission, 1989):

. . . [Too] many of the best of the nation's senior executives are ready to leave government, and not enough of its most talented young people are willing to join. This erosion in the attractiveness of public service at all levels--most specifically in the federal civil service--undermines the ability of government to respond effectively to the needs and aspirations of the American people, and ultimately damages the democratic process itself. (Volcker Commission, 1989, p. xv).

Much evidence supports this decline in the federal civil service:

- The General Accounting Office's recent interview with the senior executives showed that only 13 percent would recommend that young people start their careers in government; additionally, several recent surveys show that less than half the senior career civil servants would recommend a job in government to their own children.

- The Office of Personnel Management report in January 1991 stated that 46 percent of those surveyed reported that they left Civil Service, in part, because they did no longer enjoyed the work, and 42 percent reported that they left, in part, because their skills had not been used appropriately (p. 1).
- Seventy percent of the former executives believe that the government has not established, as the law provides, a compensation system designed to attract and retain highly competent executives (p.1).
- On the average, 8.9 percent of the 6,200 senior executives left the Service each year from 1979 to 1987 (p.5).
- The Merit System Protection Board's survey of former senior executives, both career and non career, who left the Service within the past 5 years showed overwhelmingly that they believe that they are inadequately paid and that the SES bonus system is inadequately funded and unfairly administered. In addition, concerns over continued salary ceilings and possible adverse changes to the civil service retirement system were frequently cited by former members of the SES as important reasons for leaving the Service (p.4).
- On average, nearly 9 percent of the career senior executives leave the Service each year, primarily though retirement and resignation. Most of the SES dissatisfaction is related to compensation (p. 4).

The increase in turnover among the SES members is critical to successful government administration in the future. Not only have the members held the most demanding supervisory and managerial positions in the Federal Government, but they are also very well-educated. More than 93 percent of the career executives are college graduates, and nearly 65 percent of them have received

additional advanced degrees. However, a continued ceiling on their salaries has forced them to leave the service. In 1985 and 1986, half of the respondents who left the service cited, this factor as their major reason for leaving the service, and it was a factor for nearly three-fourths (71 percent) of the former executives who retired or resigned in 1988 (p. 9). However, in this era of a changing workforce and increasing challenges in the future, the agencies need to hire, train, and retain a new corps of senior executives to help improve the federal civil service in the future.

To strengthen the SES, President Bush signed Executive Order 12736 to adjust pay rates for certain Federal employees, including SES members. The increases ranged from 22 percent (ES - 1 level) to 30 percent (ES - 6 level). This action, effective January 1991, was expected to improve the Federal Government's ability to attract and keep high-quality executives.

However, the pay increases may have had an adverse result. By 1994, often referred to as the *Great 1994 Retirement Rush*, the federal government is going to face the most dramatic workforce changes in the history of the civil service. The SES members who are eligible for the retirement will keep their services until 1994 in order to increase the "high 3" average salary on which their pensions will be based. Many executives who are staying for that reason are likely to retire in early 1994.

Specifically, about 36 percent of all career SES members will be eligible for optional retirement in 1994. OPM's figures also indicate that the Air Force will

witness the greatest loss in SES members (55 percent), while the Environmental Protection Agency (EPA) will have only 14 percent of the SES members eligible for retirement. In addition, hardest hit occupations will be in sciences, while only 21 and 32 percent in legal and general administration positions, respectively, are expected to leave. Finally, 35 percent of the minority and 14 percent of the women SES members will be eligible for optional retirement in 1994.

Therefore, in the near future, the federal government could face a serious leadership gap in some agencies due to the exodus of experienced senior executives in 1994. Nonetheless, a better job of planning for the future is a way to identify and carefully develop top-quality successors for those who may retire in 1994.

The Senior Executive Service Candidate Development Programs (SESCDPs) were initiated shortly after the Civil Service Reform Act 1978 (CSRA) officially implemented the Senior Executive Service in July 1979. According to the Section on Executive Development (section 3396 of Title 5, U.S. Code) of the Act, combined with other provisions on the SES, the executive development policy is designed to "provide a framework for integrating the training-development function with other aspects of executive personnel management - vacancy forecasting and manpower planning, recruitment, selection, and performance appraisal." (Flanders and Klauss, 1982, p. 120). The policy works to reshape the way in which the majority of executives are selected and to increase the management competence of the executive workforce. The main reason for its original establishment was that

. . . there [were] serious inadequacies in the manner in which . . . career executives are selected, developed, and utilized. While the career service produces numbers of outstanding executives, poor executive selection and development practices in a number of agencies provide room for significant improvements in this vital area (U.S. Civil Service Commission, 1978).

The main objective of this study is to examine the executive development programs in several federal agencies. Specifically, it will examine, describe, and analyze how the agencies plan and implement their executive development policy. It is expected that when the research is finished, this study will benefit relevant policy makers, both academics and practitioners in the field of Public Administration, the federal agencies, and certainly the committee members of this dissertation.

HISTORICAL BACKGROUND OF THE SENIOR EXECUTIVE SERVICE (SES)

The idea of a Senior Civil Service in the federal government, although officially proposed in 1955 by the task force on personnel and Civil Service of the Second Hoover Commission, can be traced back to 1935, when the idea was first raised in *Better Government Personnel; Report of the Commission of Inquiring on Public Service Personnel* (White, 1955: 237). The report detailed the issue of career executive service, but the proposal was overlooked due to the Great Depression. The issue was raised again in 1937 by the President's Committee on Administrative Management. Unfortunately, the controversy over the Supreme Court Packing and the Dictator Bill¹ drew more public attention than the recommendations of the committee.

¹During the Roosevelt Administration, the President looked for a means to counteract judicial obstruction of New Deal policies. The most influential means was to propose a bill that changed the composition or

The Reed Committee, officially known as the President's Committee on Civil Service Improvement, readdressed the idea prior to the beginning of World War II. Led by Justice Stanley Reed of the Supreme Court, the committee was mainly concerned with the status of federal lawyers and with the establishment of administrative corps including all administrative positions in CAF-11 or P-4 and above. The committee encouraged each department to develop an effective and orderly means of training junior executives for eventual promotion into the new corps. Nonetheless, the plan was forgotten because of World War II and the mobilization effort.

Even after all of these prior attempts, little progress was actually made until the mid 1950s. At that time, the U.S. Civil Service Commission debated whether the career system concept should begin with an executive order, an interim plan or through direct legislation. Actually, it was in December 5, 1956 that the White House finally decided to establish a career executive service for top career employees who are competent to serve in staff or line positions requiring administrative and managerial capacity.² To implement the plan, a Career Executive Board was created by Executive Order 10758. The Board's tasks were 1) to develop a Career Executive Service, 2) to establish "a supplementary roster of career executive eligibles," 3) to develop methods for regular appraisal of career executive performance, 4) to assist the Civil Service Commission and the agencies in the development of effective training programs for career executives, 5) to

size of the Supreme Court. A key part of the bill was to limit the maximum age of the federal judges to seventy years old. Specifically, the bill required that if any federal judge who had served for ten years or more failed to retire within six months of reaching the age of seventy, the President could appoint an additional judge which could not exceed the total of fifteen.

²From *Report of the Career Executive Committee*, December 1957, p. 1 quoted in Paul Van Riper "Senior Civil Service" *Public Administration Review* No. 3 (Summer 1958): 190.

recommend to the Commission "changes in position classification practices to permit greater flexibility in assignment of career executives," and 6) to make such other recommendations "as will strengthen the career executive program" (Van Riper, 1958, pp. 190-191).

However, the executive system designed by the Executive Order was vague, and, as Paul Van Riper has explained, "it [was] a step toward the never-repudiated Senior Civil Service concept of the Second Hoover Commission" (Riper, 1958, p. 191). Comparatively, the two proposals, the task force's recommendations and the Executive Order (E.O.), were similar. Most of the ideas outlined in E.O. 10758 were also in the SES provisions, such as the nomination and selection process. However, the task force had added the selection criteria. For example, candidates would need at least five years' experience, leadership ability, good judgment, and adaptability. Additionally, they should be capable of team work, and continued professional growth. The only difference between the two proposals was the minimum grade requirement. The E.O. required a grade of GS-16 to GS-18, while the task force drew applicants from GS-15 to GS-18 (Van Riper, 1955, p. 191).

The original task force plan was intended to include 1,500 candidates initially and eventually to increase that number to about 3,000, depending on the needs of the service and the availability of qualified candidates. In addition, the Senior Civil Executive Board was created and composed of three to five distinguished citizens with suitable experience. The board members were appointed by the President, the Chairman of the Civil Service Commission, and the Director of the Bureau of the Budget or their alternates. To become a career

executive, a highly qualified individual had to be nominated by the head of the agency and approved by the Career Executive Board. This meant that individuals were not allowed to apply directly (Van Riper, 1958, p. 191). In terms of the status of the executives, it was recommended that a "rank in person" status rather than a "rank in job" status be utilized in shaping the system (White, 1955, p. 239).

One of the two major recommendations proposed by the task force (and the core of this study) was the idea of executive training programs on a larger scale and at a higher level than previous efforts (White, 1955, p. 242). It was felt that the need for executive training helped solve the problem of maintaining the senior civil service system by maintaining a pool of able and well-trained executives. Thus, the task force stressed the importance of in-service training at all levels. Each agency and department was required to institute an executive development program. In addition, each major bureau was tasked with creating an executive development panel (White, 1955, p. 242).

CIVIL SERVICE REFORM ACT 1978 (CSRA) AND SENIOR EXECUTIVE SERVICE (SES)

In 1978, when federal personnel management found itself in a time of growing public disenchantment and dissatisfaction, the Civil Service Reform Act of 1978 created, among other things, the Senior Executive Service (SES). The government hoped that the establishment of the SES would provide a corps of top management leaders who would provide the government with the most highly motivated and highly competent leadership possible. Its main objectives were as follows:

- to provide greater authority to agencies in managing their executive resources;
- to attract and retain highly competent executives, and to assign them where they will be most effective in accomplishing the agency's mission and where the best use will be made of their talents;
- to provide for the development of managers and executives;
- to hold executives accountable for individual and organizational performance;
- to reward the outstanding performers and to remove the poor performers; and
- to provide for an executive merit system free of prohibited personnel practices and arbitrary actions (OPM report, January 1991, p. ii).

At its heart, the SES concept focused on managerial performance and administration of the reward system on the basis of individual accomplishment. For instance, the Act specifically directed the OPM to establish Qualifications Review Boards (QRBs) to serve as final reviewers and certifiers of the executive qualifications of all persons recruited for their initial career appointments in the SES. Thus, OPM was held responsible for providing the agencies with guidelines for preparing executive candidates who would assume leadership responsibilities for a number of activities common to SES positions.

According to the Reform Act, OPM was assigned to "establish programs for the systematic development of candidates for the Senior Executive Service and for the continuing development of senior executives, or require agencies to establish such programs which meet criteria prescribed by the Office." The initial regulations on management development concentrated on the development of the candidates for the SES, with lesser attention given to SES incumbents and middle

managers. The OPM policy provides the framework for the agencies to use in developing their managers and executives. Major requirements for the development of SES candidates include the following:

1. Program planning and management is to be provided by agency Executive Resources Boards, whose members are usually a mix of high-level political and career executives;
2. Selection of participants in SES Candidate Development Programs must comply with merit staffing and Uniform Guidelines on Employee Selection Procedures. Individuals successfully completing OPM-approved programs are presumed to meet the executive qualifications requirements for initial career appointments to SES and therefore receive Qualifications Review Board certification in advance of selection for any specific position;
3. Developmental experiences for candidates are identified through an individual development plan geared to developing the competencies associated with SES positions. The plan suggests a range of possible experiences, including work assignments, training, and education. A form of mentoring is to be provided, using SES members as senior advisors for candidates. Participation in an interagency executive development training course focusing on government-wide external relations competencies and issues (e.g., Congressional testimony, economics) is also required (Flanders and Klauss, 1982, p. 122).

Pinpointing the number of SES candidates to be selected for the executive development programs has to occur in relation to the existing and projected SES vacancies so that qualified individuals are available when needed. During the three years after their graduation, the graduates of the SES Candidate Development

Programs receive priority consideration for SES positions without further competition if appropriate merit recruitment and selection procedures were used for selecting program participants. This allows an organization to carefully project its executive workforce needs (e.g., numbers, professions) and take these into account in selecting its program participants. Further, this practice allows agencies to avoid the lengthy staffing processes associated with conducting merit competition on a position-by-position basis.

During FY 90, 127 candidates participated in the development programs. Moreover, an additional 78 participants completed their programs and were approved by a Qualifications Review Board. During its history, July 1979 - September 1990, about 51 percent of the 1,257 graduates government-wide have been selected for SES positions; about 17 percent were eligible for the positions, and 32 percent left government or their eligibility expired (OPM report, 1991, p. 24).

The proportions of women and minorities participating in the CDPs have increased. Up to date, about 25 percent of those enrolled and 14 percent of the graduates were women. In addition, throughout the history of SES, 854 women were SES members in FY 90 (or 11 percent), up from 5 percent in 1979. Minorities constituted about 12 percent of the CDP participants and 11 percent of the graduates. However, the number of minorities in SES increased only slightly from 6 percent in 1979 to 8 percent in 1990 (pp. 32-34).

EXECUTIVE DEVELOPMENT PROGRAMS

Within the broad guidance provided by the OPM, each government agency has full authority to design the specific content, duration, and emphasis of its executive development programs. Some agencies may have programs that require their participants to leave their current jobs for full-time involvement in the programs. Most agencies, however, run part-time programs in which participants continue to hold their current positions. Moreover, the length of the programs varies from six months to two years or more. The agencies can also use different forms of training. For instance, some emphasize formal training courses, while others primarily use on-the-job training experiences (developmental work assignments). Nonetheless, all programs are similar in their combination of components: preparing of the individual development plans (IDPs) and providing developmental work assignments, senior advisors or mentors for each participant, training courses, and other kinds of exposure to executive level problems and issues (e.g., senior executive briefing sessions, and shadow assignments with career executives). The next two sections will examine examples of development programs and the matter of executive pay.

EXAMPLES OF DEVELOPMENT PROGRAM

It is instructive to observe how several agencies implemented their programs. The following examples include OPM, Department Health and Human Services, and Federal Aviation Administration.

Office of Personnel Management (OPM): The OPM's first SES candidate development program was a part-time program for small agencies which ran from

February 1980 to August 1981. It included developmental work assignments (one of which was to be outside the candidate's agency), senior advisors, and formal training courses. The overall pattern of responses indicated that the greatest learning and insight occurred through integrating internal agency issues with the external environment. The developmental assignments were generally highly rated by the participants and seemed to provide the best "hands-on" growth experience of all the program components. However, several participants mentioned the difficulty of getting released from current jobs to take these assignments. Also noted were problems with getting "reestablished" in their current jobs once their developmental assignments were completed (Flanders and Klauss, 1982, pp. 128-129).

Along with the formal components of the program (e.g., training courses and developmental assignments), many participants indicated that they benefited greatly from many new professional contacts they had made during the course of the program. Thus, the overall experience was one that exposed them to situations and people they otherwise would not have been able to readily access.

Department of Health and Human Service (HHS): In the early 1980s, HHS ran two CDPs, with 42 and 28 candidates, respectively. The placement rate for the SES position was about 40 percent. Later, the program was discontinued, only to be implemented again in May 1992.

In the new program, 75 candidates were selected, a number based on the projected future vacancies. The department planned to improve the workforce

diversification issue. It expected at least 50 percent of the participants in this new program would be women and at least 20 percent would be minorities. This program was quite different from the previous ones. It was designed to train the candidates to become generalists rather than specialists in order to meet specific skills and positional requirements. Developmental assignments and mentoring were the key components of the development strategy. The length of the development programs and the academic requirements depended on each candidate's needs.

The department saw the importance of an executive succession plan (ESP).³ The policy framework, known as Executive Succession Planning, was established in 1989 and required periodic examination of approximately 125 key SES positions, although that number may be increasing. It focused on developing a pool of executives who would be able to succeed in a variety of SES positions. The ESP was run at the operating division level (OPDIV) and was overseen jointly by the Secretary of HHS, the Assistant Secretary for Personnel Administration (ASPER), OPDIV heads, the Executive Resources Board (ERB), and an Executive Development Board (EDB). ASPER's and the EDB's task was to review and evaluate the ESP, while the OPDIVs were responsible for annually updating the data relevant to the program. As part of the planning process, a key position plan was developed, including a list of current SES personnel and certified qualified General Schedule candidates, including their individual training needs. Then, the potential successors prepared their Individual Development Plans (IDPs), taking into account other positions that an individual might be able to fill. Potential

³The details of the ESP are described in the OPM's *Executive Succession Planning Conference Report*, July 1992.

successors were given the opportunity to take developmental assignments and additional training (Senior Executive Association, 1992, pp. 10-11).

Federal Aviation Administration (FAA): The Candidate Development Programs were new to the FAA. The first FAA program was initiated during FY 90 when key officials throughout the agency were interviewed to determine the skills and knowledge needed to manage the FAA. Discussions focused on the agency's cultural values and what selecting officials look for in potential executives. After the key officials identified what they were looking for, a rigorous selection process, including a two-day assessment center experience, was developed. The FAA recruited participants from both outside and inside the agency to attract the best talent available to the program.

The FAA selected its group of CDP participants in Spring 1990. In the first phase, the candidates received classroom training and job development. They jointly designed the Individual Development Plans with their supervisors and senior advisors. The plans included training tailored to the individual's needs, as well as in-house quarterly programs common to all candidates. The common programs built cohesion and community as well as ensuring the sharing of information. All candidates were required to include headquarters, regional, and local office experiences if they had not already worked in each environment. This helped to round-out their organizational exposure and helped future executives understand the perspective of those affected by their decisions.

The FAA made a special effort to widen recruitment for the program beyond the agency in order to attract the best talent available. They expected program graduates to be a valued source of senior executives within the agency (OPM report, 1991, pp. 24-25).

RATIONALE FOR CONDUCTING THE CASE STUDIES

STATEMENT OF THE PROBLEM

The problem addressed in this study is how the various changes in the federal workforce will influence the federal agencies as they prepare a pool of highly talented executives for the future. As mentioned earlier, various forces influence the effective maintenance of a competent federal workforce. Aside from the increase in global competition in the workforce, other factors include demographic changes in the federal workforce, the need to attract and recruit younger people to join the labor force, the need to provide women and minority executives with equal employment opportunities, and, most importantly, to satisfy the demand for more potential executives who reflect the diverse backgrounds required by federal agencies. In this respect, the agencies' CDPs are the primary source in providing a pool of highly competent successors who can fill any potential leadership gap. The study does not intend to evaluate the success or failure of the agencies' CDPs. Rather, it intends to describe how the agencies have planned and implemented the CDPs in order to cope with the potential demands in 1994.

PURPOSE OF THE STUDY

Given the new challenges, the study will examine how the federal agencies have planned and carried out the executive development programs outlined by OPM. Most importantly, the study examines how the federal agencies that currently operate the Candidate Development Programs (CDPs) do their succession planning and implement the CDPs. Specifically, the study will do the following: 1) explain how the agencies manage the internal flow of SES members through succession planning; 2) investigate how complex the agencies' Human Resources Development systems are in implementing the programs; and 3) explain how the agencies select, develop, and evaluate the SESCO candidates. Although the executive development programs are implemented differently in various agencies due to the differences in their circumstances, there are, at least, certain similarities that can be identified and applied to other settings.

The executive development policy is not new. It was initiated by the Civil Service Reform Act of 1978 and officially became effective in July 1979. In fact, it had been encouraged by the Civil Service Commission and the Office of Management and Budget through various directives before it was systematically established by the CSRA. At present, the policy is becoming more organized and is being implemented at the federal government level. Furthermore, the plan and policy has been used as a model by some state governments (e.g., California, Minnesota, Oregon, Wisconsin, and Iowa).

The other reason the federal agencies are the focus of this study is that the CSRA specifically directed OPM to establish the executive development programs

in the federal agencies. The multiple new challenges in the federal workforce, together with OPM's projections of the large numbers of SES members eligible for optional retirement in 1994, calls attention to the maintenance of executive competence in the executive agencies. In January 1991, the Director of OPM stressed that the mission of the SES is essential:

In an ever-changing world and nation, the Government needs a special class of great achievers to make things happen, serve the people, and help improve the world around them. This special class is the Senior Executive Service.

The members of the SES throughout Government give special attention to the quality of their work. They make a difference in issues affecting America. They serve as role models in developing and managing others in the Federal workforce. And, they demonstrate outstanding achievement in serving the Government's clients--the public. This level of excellence is *essential* for senior executives who the President depends upon each and every day to implement his mandate. (OPM report, January 1991, p. i).

Since not all federal agencies have CDPs and some of those having the programs do not currently run the programs, the agencies selected for the case studies are those federal agencies currently operating the programs, including the Department of Interior, the Department of Labor, the Department of Transportation, the Department of Veteran Affairs, and the Small Business Administration.

CONTRIBUTIONS OF THE STUDY

The first contribution of the study is its focus on the SES Candidate Development Programs (SESCDPs). The SESCDPs are very important and unique

in preparing highly competent executives who are expected to continue providing effective services to the American public in the future. Each federal agency specifically designed the program activities, curriculum, and duration in such a way that the CDPs met the needs of the individual candidates. In addition, different methods of training are utilized, varying from formal training courses to informal activities such as on-the-job training. However, the practices of the SESCOs have not been analyzed in depth. Thus, this investigation can help fill this gap in knowledge by analyzing the current practices of federal agencies in the time of "quiet crisis."

Another gap of knowledge that the study concerns is the dearth of quality research emphasizing executive development in the federal agencies. It is true that there is much literature on executive development. However, this body of knowledge, to a large extent, covers the practices in the private sector. Furthermore, little has been written about the practices in the state and local governments (Bremer and Howe, 1988; Bocher, 1982; Reh fuss, 1986). This study can describe and analyze the pattern and concept of SESCO currently being practiced in the federal agencies. Other federal agencies can improve their CDPs through learning from the experiences of the agencies under study, e.g., learn the strengths and weaknesses of the programs, the training methods, and their relationships with the OPM.

The study also will benefit the Executive Public Administration (EPA) program offered at the Faculty of Political Science, Thammasat University (TU) and the Thai government for which I work. When the EPA program was

established in 1989, it was designed to be compatible with the regular master's program. However, the EPA program is quite different in that it recruits executives who come mainly from the public agencies. The result is that the program has unintentionally disregarded the fact that these executives have a great deal of experience in the public service, and thus, the training should aim at improving their skills and abilities to a level where they can cope with future public service challenges. To educate experienced executives, the EPA program's training regimes should be designed to provide the skills and knowledge that participants can directly apply to the reality of their workplace. In other words, the program activities should be job-related. The contribution of this dissertation to the EPA program is achieved through my involvement in designing and implementing the program when I return to pursue my academic career at Thammasat University.

For my homeland, Thailand, the study offers many ideas in attracting qualified young people to public service and in retaining the existing executives in the services. At present, the Thai government does not have special development schedules for the executives nor the Executive Candidates Development Programs. To improve their knowledge and skills, these executives rely on executive programs offered by universities. Recently, the government has been alarmed by the increase in the number of highly educated officials leaving for the private sector and abroad because of the uncompetitive compensation schedule. This dissertation, then, will help the Thai government by providing it with multiple ideas for initiating the policy and programs that can attract the next generation of public servants and ensure the participation of the existing one. As I return to my

country, my dissertation will be read and evaluated by the Thai Government. In addition, through my active presentation of the executive development program at TU, I am certain that the Thai Government will consider this new policy of establishing the executive development programs in the government. My proposal for the establishment of executive development programs in the government would motivate senior officials to improve their knowledge and skills and to keep themselves current on new management trends, both in theory and in practice and the political situations. In return, this improvement in the senior executives' competency would help improve the effectiveness and efficiency in the government in the long run.

CHAPTER II

LITERATURE REVIEW

Much literature exists on executive development theories which are mostly developed mostly in private organizations. This body of knowledge often reflects the characteristics of a particular organization. The literature to be discussed includes Human Resource Development (HRD) systems, succession planning, and approaches to the practices of executive development programs, which are categorized into two broad approaches--traditional and contemporary approaches.

HUMAN RESOURCES DEVELOPMENT (HRD)

Definition

While there are several general definitions of Human Resources Development (HRD), Nadler and Nadler (1992) define it as "organized learning provided by employers within a specified period of time to bring about the possibility of performance improvement and/ or personal growth" (p. 6). In HRD, there are three different kinds of learning programs, based on job focus: training, education, and development. The distinction between the three activities is very important to HRD objectives because each brings about different results.

Training

Training means "the activity where the learning is focused on the *present job* of the learner" (p. 6). To Montgomery Van Wart and others (1993), training is "application driven and aims to impart skills that are useful immediately in particular settings" (p. 18). By its nature, training is technical and specific to job or agency skills, procedures, policies, or to local codes, state and federal laws,

mechanical skills, and professional job expertise. Although general management skills, such as interpersonal, group process, and communication skills are introduced, they are geared toward immediate use in particular settings (pp. 18-19). The time allotted for the training is usually limited. Finally, it has specific outcomes.

Education

Education refers to "the activity where the learning is focused on *a future job* of the learner" (Nadler and Nadler, 1992, p. 6). Unlike training, education is "principle driven." The general knowledge and skills taught aim at achieving excellence in a field or discipline rather than at reinforcing specific learning points. Education generally uses a longer period of time than training. Moreover, its application tends to be useful for a wider variety of settings than training (Van Wart and others, 1993, p. 19).

Development

Development means "the activity where the learning does *not* focus on a job" (Nadler and Nadler, 1992, p. 6). Development is very unique in its characteristics. It focuses on enhancing the learners' competencies by allowing them to choose their own leaning styles. By doing so, it encourages the learners to improve their careers and interests. In addition, it also focuses on long-term planning and intellectual curiosity for its own sake (Van Wart and others, 1993, p. 19).

The distinction between training and education is rather blurred in the modern world because of rapid changing technology. In the past, employees are assumed to be fully educated prior to entering the workplace, and training was

later obtained on the job for specific purposes. Nonetheless, the boundary between the two activities cannot be clearly drawn. At present, with the advancements in technology, students or workers can choose their own interests and discover their own learning objectives so that they can improve their competencies in order to keep up with the pressure for more production, innovation, and change.

For the purpose of this research, the term *development* seems to be appropriate for the study of the SESCDP, and thus it is applied throughout the study. Although part of the SESCDP requires the participants to complete certain formal training courses, the main emphasis of the program is on the individual's developmental needs which allows and encourages the participants to design developmental activities that help improve their competencies in different areas. The following section discusses three different models of Human Resources Development.

HUMAN RESOURCES DEVELOPMENT (HRD) SYSTEM

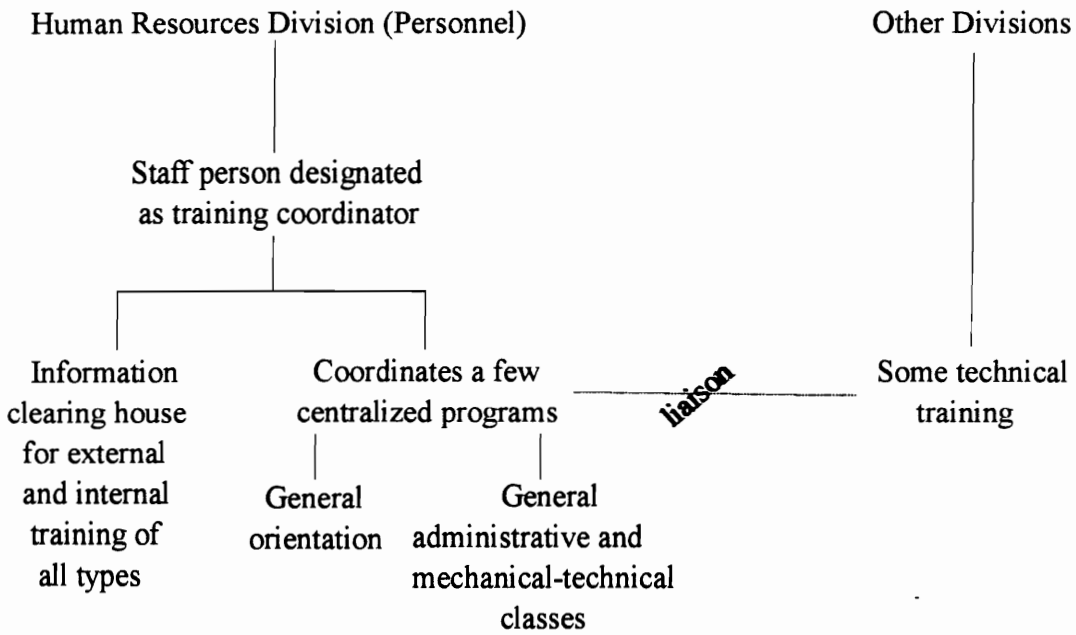
For the executive development program to be successful, the HRD system needs to be designed to meet the needs of the organization. The HRD system under discussion refers to the organization structures that provide HRD functions and that may vary in their sophistication and complexity. According to Van Wart and others (1993), most public sector organizations at the federal level "have some defined HRD system." They draw three abstract models of the HRD system practiced in the federal government, rather than state and local levels. These models vary in their complexity. They are 1) the rudimentary model; 2) the

developed training developmental model; and 3) the specialized training departmental model.

1. **Rudimentary Model**

In the rudimentary system (see Figure 2.1), the human resource department usually has one person acting as a training coordinator. The coordinator may implement the HRD function full or half-time and may or may not have a staff to provide support. In any case, the role at this point is to act as a "clearinghouse" and a coordinator of information. This role has access to all development information coming from all sources. In addition, the coordinator sometimes needs to be in charge of the orientation process for new employees and sometimes other administrative procedures and one or two basic training classes. On some occasions, coordinators may need to process routine paperwork such as publishing a brochure or newsletter. On various occasions, the coordinator may only provide methodological support to the participants. The HRD systems in the public sector that most clearly fit this model include towns, small cities, most counties, many small state agencies, and many judicial administrations (p. 41).

Van Wart and others find that the HRD system at this level is very difficult to evaluate because it varies considerably. However, they state that the rudimentary system does not have its own budget responsibility. As a result, the training or development is run on "a gratis basis." The main concern in evaluating this kind of system is in filling the vacancies rather than in the quality of the development because there may or may not be a guideline for executive development. Thus, development is left to informal on-the-job training. Due to



Source: Adapted from Montgomery Van Wart and others (1993). *Handbook of Training and Development for the Public Sector*. New York: Jossey-Bass, Inc., p.41.

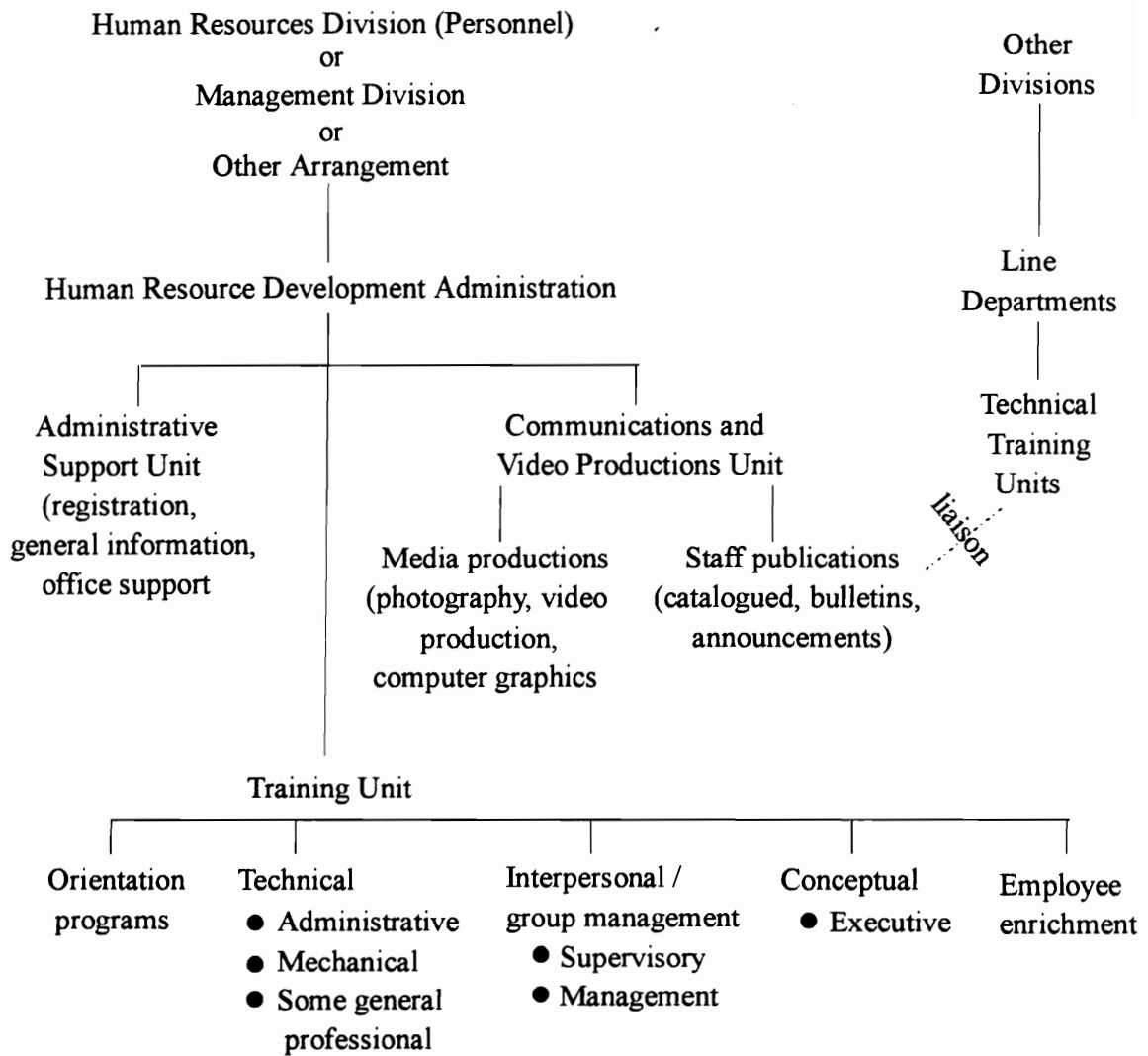
Figure 2.1 Rudimentary Model of a Public Sector HRD Function

the insufficient support of the HRD structure, executive development is often considered weak. Supervisory training is often sparse and training on general issues is eclectic. The HRD system can be improved to the next level if the coordinator has a strong HRD background and strong executive support.

2. Developed training department model

The developed training department model (see Figure 2.2) of the HRD system describes many public organizations, particularly the ones of moderate size and moderate resources. As the name of this model states, the organization has a training department that is differentiated from the personnel positions. In many cases, the training department reports to the human resources department. In some cases, it reports to the Chief Executive Officers (CEO) of the organizations.

Typically, there are three fundamental functions in the department. First is an administrative function responsible for registration, requests for information and for providing general office support. Second are the training operations dealing with all training activities, including mechanical-technical and professional-technical training. The third function area is a communications and video production unit which is in charge of various media productions, ranging from photography to video productions to computer graphics. This also includes the production of all publications such as a training brochure and periodic bulletins, newsletters, and other promotional materials. This model can be found in large cities, populous counties, large state agencies, small-to-moderate sized federal agencies and large judicial administrations.



Source: Adapted from Montgomery Van Wart and others (1993). *Handbook of Training and Development for the Public Sector*. New York: Jossey-Bass, Inc., p. 43.

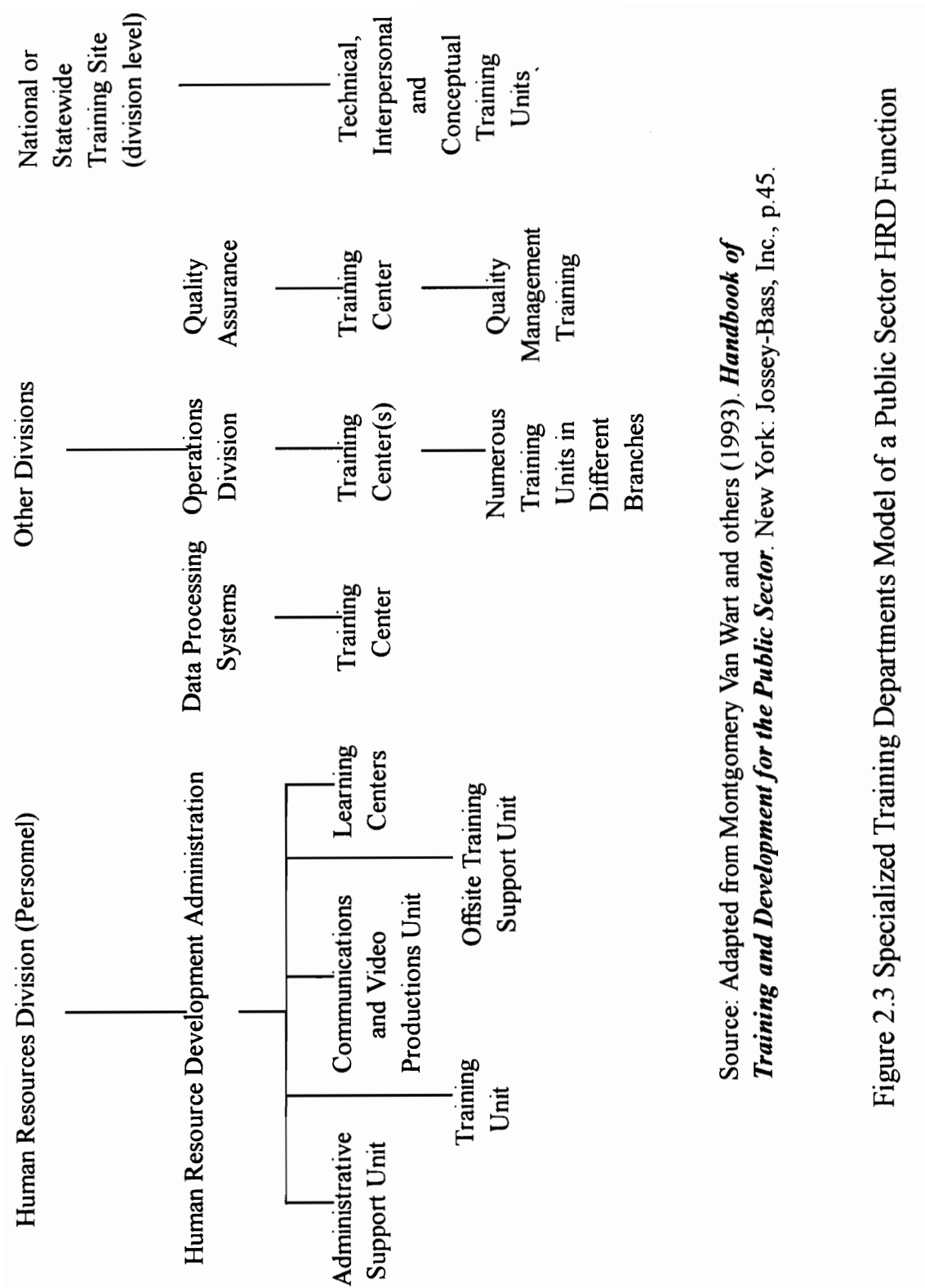
Figure 2.2 Developed Training Department Model of a Public Sector HRD Function

Since the training departments in this model have their own budgets, most training is conducted or operated by the department, including general training on technical, basic, and general procedural skills; supervisory skills; management and executive development; and employee enrichment. Specialists from outside the department handle the training in specialty areas, for instance, computer training and equal employment opportunity training.

The central training unit can support technical training. For example, it can compile an organization-wide training brochure, provide a train-the-trainer program, provide a general training format for all technical training units to follow, and provide substantial assistance or guidance in the development of each technical training program. In organizations that have highly technical processes and in which high-quality training is expected, training advisory committees and training program teams typically combine personnel from the technical units and the central training department (p. 42-44).

3. Specialized training departments model

The specialized training departments model is the most sophisticated system in the HRD (see Figure 2.3). The organization has fully developed training departments, centers, or institutes offering specialized training opportunities. The central training department has not only the three fundamental functional areas described in previous model, but also has off-site training support units, learning centers, and other specialized training departments. Further, the communications/video production units in this, the most sophisticated model, may have a large training center for computer and management information systems (MIS) classes.



Source: Adapted from Montgomery Van Wart and others (1993). *Handbook of Training and Development for the Public Sector*. New York: Jossey-Bass, Inc., p.45.

Figure 2.3 Specialized Training Departments Model of a Public Sector HRD Function

In addition, the operations divisions may have fully developed technical training units and perhaps even a large technical training center. Moreover, it may have an organizational development department, providing training for a quality assurance (Total Quality Management) or an organizational development department for quality-improvement training, total quality indoctrination and education, or team building and organizational design work. Some federal agencies even have a regional or national training site for technical, interpersonal, or executive training.

The authors find this model is common in the largest cities, the largest state agencies, and moderate to large federal agencies. Because of the greater size and resources of federal agencies, this model is common at the federal level.

It is very typical of this model that a number of full-time specialized training administrators report to different areas of the organization. Not surprisingly, training and development are well funded, and the training is expected to be of the very highest quality. In addition, training services tend to be very specialized, with various development units and learning centers offering different types of training. Thus, an increase in the decentralization of the training department, e.g. an increase in off-site or regional training units, is unavoidable (p. 44).

In the analytical part, chapter IV, of this investigation, the three different Human Resources Development Models explained above will be later utilized to analyze the executive development systems of various federal agencies. These models offer a framework for examining how complex and well organized the

federal agencies' HRD systems are in implementing executive development programs. However, actual HRD systems in the federal agencies under investigation may not have all components prescribed in the "abstract" models. In this respect, the analysis of the federal agencies' HRD systems is best appropriate by looking at major components and characteristics of the models that can best match the agencies' HRD system. Next section discusses executive succession planning which includes the definition, the approaches to succession planning, the nominating strategies, and the selection process.

EXECUTIVE SUCCESSION PLANNING

Succession planning is a key part of overall human resources planning because its main objectives are to fill jobs and to develop managers. Research has found that an effective succession/replacement planning program needs to pursue both objectives simultaneously. The question in this respect is not which objective to pursue, rather which specific approach is the most appropriate in attending these objectives (Carnazza, 1982, p. 46).

Definition

According to the National Academy of Public Administration's (NAPA) report, executive succession planning (ESP) "effectively integrates the processes of projecting valid executive staffing needs, identifying high-potential candidates for leadership positions by building internal and external talent pools, and preparing candidates for greater responsibilities through planned development experiences, and selecting the best individuals available from continually maintained lists, pools, and/or cadres" (NAPA's report, December 1992, p. vii).

From this definition, the process involves four basic activities:

1. Projecting executive staffing requirements, both qualitatively and quantitatively, in consonance with its overall business or mission strategy.
2. Identifying individuals ready to move immediately into key positions as well as those with strong potential to do so after further development.
3. Preparing candidates through planned developmental assignments and training.
4. Selecting executives from continually maintained and developed lists, pools and or cadres (p. 2).

NAPA's definition of the ESP is in consonance with Joseph P. Carnazza's findings on the succession/ replacement planning of the 15 companies being surveyed. Carnazza finds a number of characteristics common to all programs. First, each program represents a means of insuring a sufficient number of talented, qualified persons to fill key managerial roles in an on-going concern (Carnazza, 1982, pp. 39-40). In addition, he also finds that a set of formalized procedures is more efficient than a set of informal procedures in reaching the desired goals (p. 40). Another common characteristic is the presence of the following components:

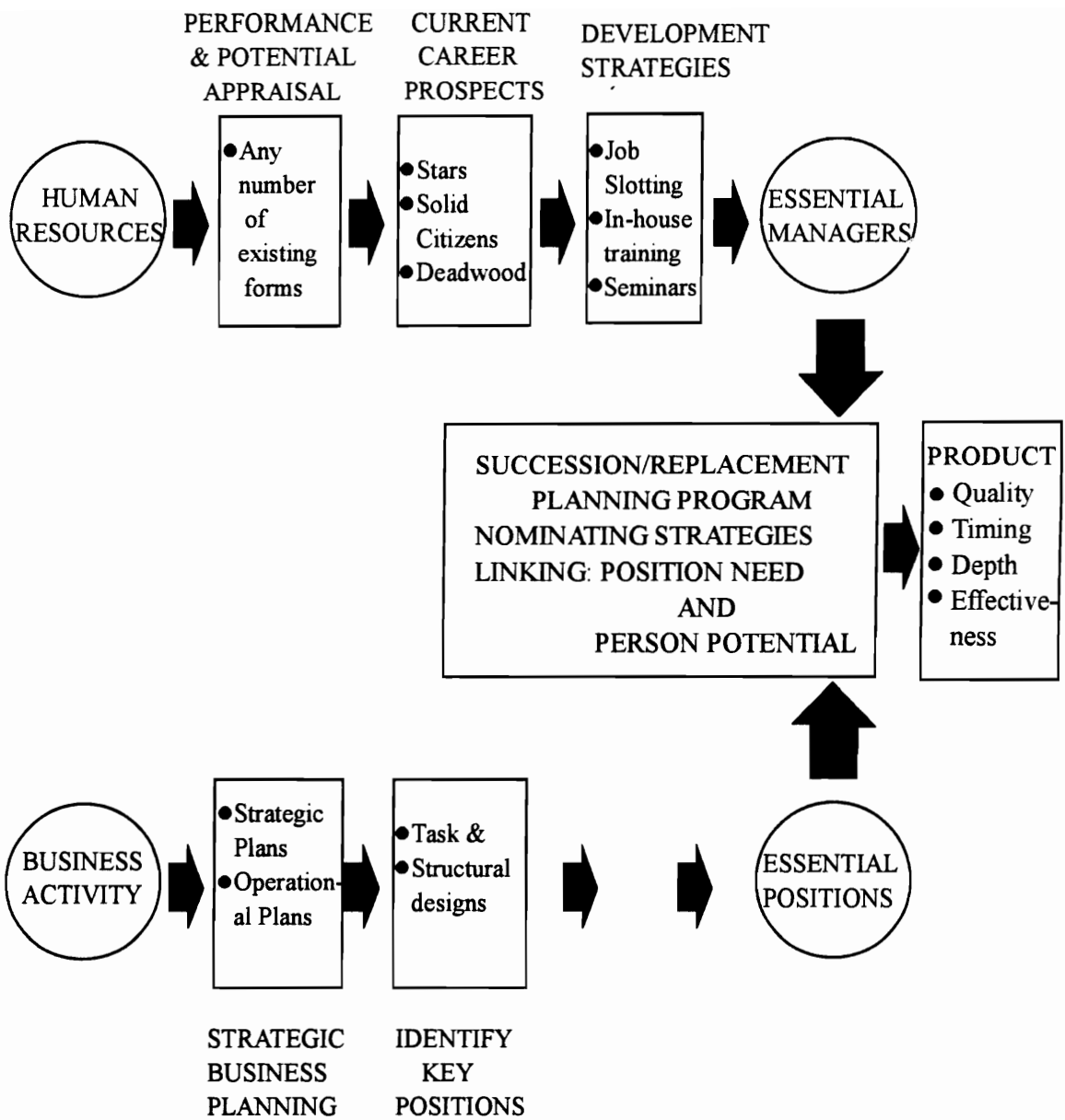
- a set of specific objectives,
- a definition of who is covered,
- a procedure for nominating/ identifying candidates,
- policies regarding the development of candidates,
- the support of the C.E.O. and ,
- at least nominal support/ acceptance by executives and managers implementing programs (p. 40).

A Model of succession/ replacement procedures

Drawing upon Carnazza's survey, a model of the succession/ replacement procedures is presented in Figure 2.4. Basically, there are two distinct factors that have a bearing on a company's succession/ replacement program. One is the need to manage human resources. The other is the impetus in normal business activity, including the dynamic forecasts of economic and environmental conditions and influences underlying the company's business activity and strategic business planning. Identifying what is likely to happen, permits the identification of the roles or positions necessary for managing the events and their consequences. Further, this capacity to anticipate the positions makes it easy for the organization to identify the kind of managers required to fill the vacancy. Knowing both the essential managers and essential positions, the next step is to match these two pools. This matching is what many companies call *succession/replacement planning*. To implement the succession planning procedures, there are two general approaches: status quo and future states in estimating both the number and the type of future managerial needs.

1. The status quo approach

The status quo approach assumes that the present structure will be sufficient to meet future environmental and internal pressures. However, this assumption is correct only if the pressures impinging on the company remain the same during the



Source: Adapted from Joseph Carnazza (1982). *Succession/Replacement Planning: Programs and Practices*. New York: Columbia University, p.43.

Figure 2.4 Schematic Representation of the Succession Replacement Planning Process

forecast period. Realistically, the assumption that the future will be the same as the present is short-sighted and possibly naive.

2. The future approach

The future approach to the company's succession planning is a direct off-shoot of the strategic business plan. In the strategic plan, the goals related to products, production methods, market composition, government regulations, etc., are set; then a new organizational structure is projected. Finally, the final stage is to compare the correct organizational structure with the new organizational structure, identifying managerial surpluses and shortages and developing a program to manage the respective situations (pp. 47-48).

Nominating strategies

Carnazza also describes nominating strategies that break into two distinguishable phases. The first is to develop the managerial population into the various current career status categories which most organizations have formalized. Second is to match "Essential Managers" with "Essential Positions" (p. 48).

From his study, Carnazza discovers four strategies for matching sufficient managerial talent with anticipated vacancies. The four are Crown Prince, Slate, Pool, and Wave. Each has advantages and disadvantages; for instance, the Slate and Pool strategies may have the unanticipated negative consequence of producing or generating more qualified managers than the company can absorb. However, this does not affect the operation of the organization (p. 49).

Crown Prince The Crown Prince strategy assumes that the organization experiences a little bit of discord, a little bit of disruption and a few disconfirmed expectations. In addition, the position is also assumed to change in an orderly fashion. The primary weakness of the strategy is that when the organization is in urgent need of the qualified executives, as they quit, die, or resign, the organization will experience a lack of executive transition (pp. 49-50).

Slate Slightly different from the first strategy, the organization in the Slate strategy has a small number (3-4) of qualified candidates available when the vacancy occurs. These qualified executives provide a source for future replacements as needed. The advantage of this approach is that the loss or threatened loss of one person does not have a great impact on the company. However, it has two disadvantages. For one thing, it can produce an excess of qualified managers, i.e., developing more managers than there are positions to fill. The other disadvantage is that people are developed to the same level of proficiency (an assumption of the strategy). In other words, the organization has to prepare four persons rather than one for one position to be filled. Thus, it requires more money, with a cost perhaps three to four times that of developing a single candidate (p. 50).

On the other hand, the costs of this strategy may be illusory. An additional cost of developing a few more candidates is justified by allowing the organization to maximize its options and minimize the risks of having only one choice (p. 50).

Pool In the Pool strategy, a reservoir of qualified managers is developed, each of whom are capable of performing any number of jobs. An example of the pool strategy is developing and maintaining a high-potential or executive replacement list. For example, it provides for the continued availability of qualified candidates without this disconfirmed expectancies that occur when trainees are not promoted into vacancies. On the down side, this strategy has a tendency to develop generalists, who may not possess all the specific skills necessary to step right in and take over. Thus, this strategy may be suitable for filling vacancies in generalist positions, whereas additional costs for additional on-the-job training may be required for the specialist positions.

Wave Since the Slate and Pool strategies develop more qualified executives than the organization can absorb, they create the problem of managing the surplus talent. Based on Carnazza's study, two or three organizations employ a strategy that combines both Crown Prince and Slate strategies. This strategy, namely ***Wave***, is used in a situation in which the organization needs to replace several senior executives within a short time frame (1 1/2 to 3 years) and it is expected to have a few vacancies to fill. The goal is to select the candidates from a small pool and train them over a number of years. None of the executives selected from this pool is developed for any specific position until just before a vacancy occurs. To employ this strategy, the agency needs to estimate the minimum number of executives to train while still insuring a sufficient number of executives in the future. Typically, the number of executives in the pool needs to exceed the anticipated number of vacancies. However, the number of executives is reduced to a point where the number of essential managers and the number of essential

positions are approximately equal, accomplishing the goal of minimizing the surplus of high-quality managerial talent (pp. 51-52).

This Wave strategy can be explained simply by giving an illustration. Assume that an agency needs 12 senior executives in the next 25 years. By applying the Wave strategy, the agency needs to estimate the number of the executives to train today to ensure 12 qualified executives in 25 years. Let's assume that the estimate of 25-28 executives are identified today. Each is given equal career and development opportunities. The number of essential managers and the number of essential positions would be approximately equal at some point.

It is important to note that the strategy that works best for one organization may not be optimal for another. Each strategy needs to be adapted to its unique situation and demands in order to bring about the best results. However, it is certain that relying exclusively on high-potential lists alone will not yield satisfactory results (p. 53). The organization will end up knowing only half of the story because it does not take into account other environmental and possible internal changes occurring each year. Once the succession planning process is completed, the recruitment process needs to be implemented immediately in order to fill future executive positions.

Selection process

In his article (1986), Paul Sheibar proposed that a sound selection process for senior managers should consider certain factors in the decision process. Specifically, they should

1. incorporate more relevant senior-level factors with losing general applicability,
2. help to diagnose problems in the selection process, and
3. refrain from dictating methods.

In the selection process, the two basic activities are the development of a profile of the positions and the assessment of the candidates.

1. The development of a position profile

The purpose of developing a position profile is to assess the impact of the requirements on the components of the position. To illustrate his point, Sheibar uses Michael Porter's model in *Competitive Strategy* (1986). Porter's model posits three strategies: cost leadership, differentiation, and focus. Each strategy needs a different management style for success. For instance, "the cost leadership requires a relatively structured, centralist management that allows only limited opportunities for employee participation. The differentiation strategy requires a more decentralized, participative style."¹

2. The assessment of the candidates

The second step is to assess the candidates' ability to formulate strategy and translate it into process. The candidates' experience and skills must be carefully reviewed at this point. This task is essential in the selection process of the senior managers, as it helps differentiate effectively between candidates and has

¹Sheibar does not discuss the focus strategy because it represents a further application of the cost leadership and differentiation strategies in a segmented market (p. 18).

implications for the other positions components and for the overall effect on the organization (p. 20).

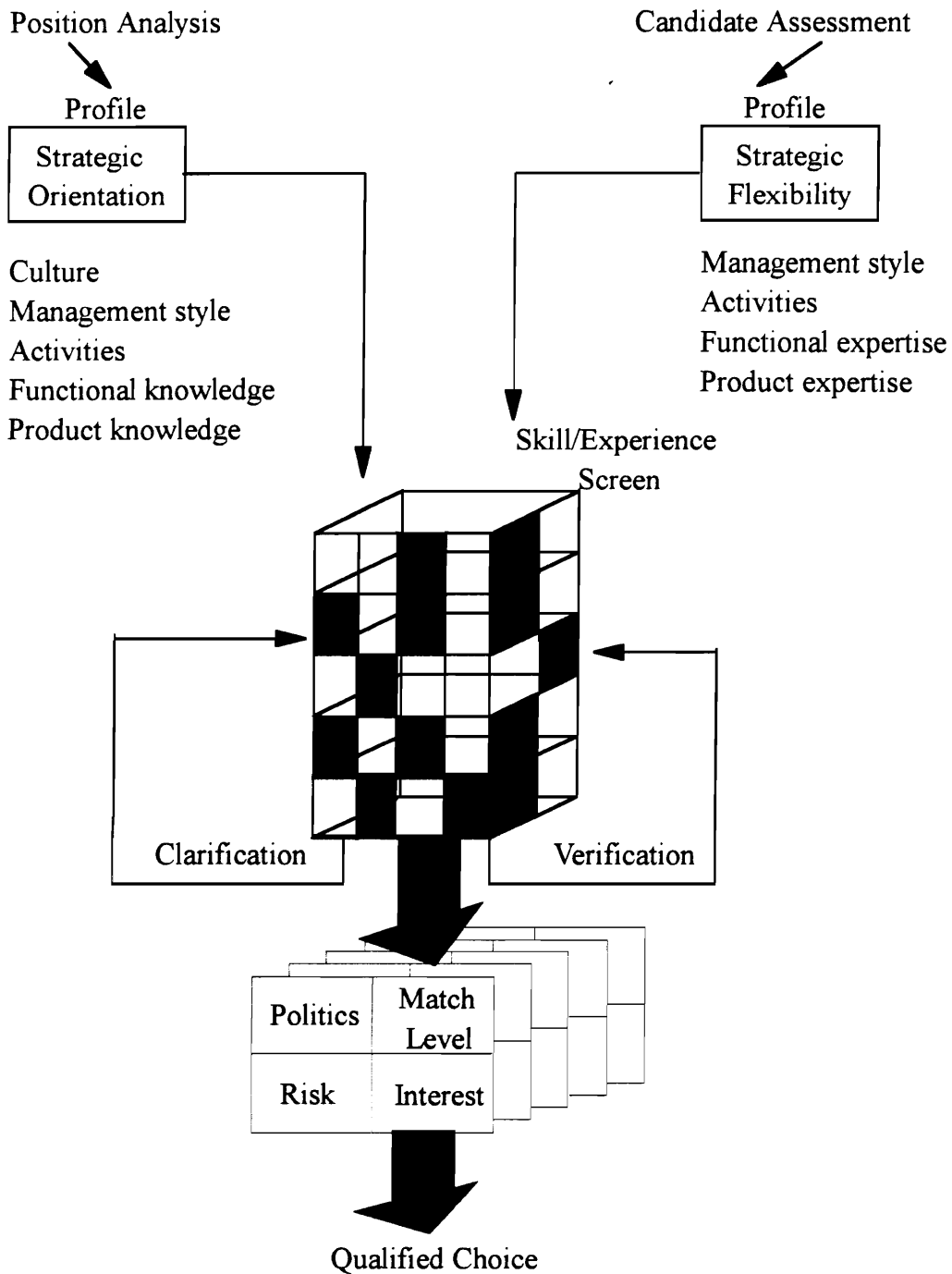
The next important step in the selection process is the matching activity, which is the comparison of information between two sources: verification and clarification. Verification refers to "the modification of the matching results that occur as a reference checking generates input to the skill/experience screen," whereas the clarification is "the occasionally subtle redefinition of the position requirements that occurs as we learn about a candidate's past performance." In other words, clarification is a fine-tuning of job specification. Sheibar suggests that the verification should be done prior to making the selection because the information obtained serves as a reference during the matching process. The result of the matching activity is the identification of viable candidates for the position.

In most organizations, the selection process ends with the matching activity. However, the selection process is complex in that it requires that the organization consider other influential factors in making final decisions on senior managers. Sheibar suggests that the organization should clarify these factors which become a decision matrix, composed of the results of the matching process and also additional factors. The factors include the risks involved in any hiring decision about either incumbents or hiring managers, the politics in the organization, and the interest of the candidates in the organization and the organization's interest in the candidates.

The preceding approach to the selection process is summarized in Figure 2.5. As Sheibar emphasized, his approach is context-oriented in evaluating position requirements and the candidates' performances. It represents the generic strategy of most private organizations.

Another approach to the selection process was introduced by John Patten (1986). He proposed a strategic approach to succession planning that combines a task toward managerial work performance outputs and a people orientation toward succession candidates. He defines strategic management succession planning as "a systematic process that prescribes managerial work output and personnel requirements over a period of about three to five years" (p. 24). It has three main characteristics.

First, the strategic management succession planning must support the strategic business plan and must be the most integral part of it. Second, it should entail an evolutionary approach by projecting how major accountabilities in specific managerial positions should develop in order to meet the needs of the strategic plan. It is also evolutionary in the sense that it presents the change over time in the skills and numbers of incumbent executives. Finally, succession planning is authoritative because it proactively rather than passively decrees what must be done to accomplish the plan. For instance, the imperative "musts" and "shoulds," rather than "maybes," are used in the plan in order to create its future. The strategic management approach to succession planning provides several benefits to the organization. To mention a few, it keeps the senior management



Source: Adapted from Paul Sheibar (1986). "Succession Planning, 1: Senior Management Selection." *Personnel* 63, No.11 (November):22.

Figure 2.5 Key Points in a Selection Process

informed of projected changes in managerial work performance outputs and roles and changes in numbers, types, and characteristics of both managerial positions, and incumbents required to fulfill the strategic plan. Further, it estimates the appropriate numbers and kinds of qualified managers necessary to produce the work output the organization needs for future success and identifies high potential internal and external candidates for existing or future positions, and among many other benefits (p. 25).²

At this point, various approaches to the succession planning have been discussed. Which approach or strategy is most suitable to a particular organization is difficult to tell. Nonetheless, based on the NAPA's analysis of public and private organizations, the study team pinpointed seven characteristics of a successful process for identifying, selecting and developing future leaders:

1. top leadership involvement and commitment,
2. integration of strategic and succession planning,³
3. compatibility with organizational culture,
4. attention to increasing the diversity of the executive staff,

²John Pattan also provides a practical guide for designing and implementing a strategic management succession planning, including strategic vision statement, a planning database, objectives, implementation strategies, evaluation and feedback. See detail in John E. Pattan (1986). "Succession Planning, 2: Management Selection" *Personnel* Vol. 63, No. 11 (November): 26-34.

³Based on NAPA's survey, there are two different approaches to achieve the integration between strategic planning and human resource planning. The first approach, mostly used in the private sector, linked individuals to a particular position. The second, mostly used in the public sector, focuses on the development of an executive pool. Both approaches are alike in examining the organization's needs for developing strategic alliances and also the need for development of the future executives. The major different is that succession planning identifies and develops a pool of executives without identifying a particular position to be filled. As a result, the organization has greater flexibility in modifying the position and in making the assignment. The integration of strategic planning and executive staffing helps ensure the future leadership and health of an organization. It gives the organization the ability to anticipate upcoming challenges and the opportunity to develop the next generation of executives. (NAPA's report, p. 9)

5. executive competencies and assessment,
6. executive development,
7. human resources functional support.

It is important to note that the above list is only basic characteristics to most organizations. Each organization or agency may need to identify its particular circumstances.

APPROACHES TO THE EXECUTIVE DEVELOPMENT PROGRAMS

I. TRADITIONAL APPROACH

The most common approach used in both private and public organizations is the traditional approach. Basically, the methods used in the development programs involve teaching and practice, formal study and formal examinations. The most distinguishing characteristic of the traditional approach to executive development is its planning process. The program is designed to provide executives with systematic learning. Often the development process is explicit in its intention with clear goals and objectives, and it is also highly structured. Through the methods of teaching and formal courses unrelated to the actual positions, the executives are unable to transfer what they have learned from formal development programs to the situations and problems they face in real life. In addition, the formal development also has a major flaw in neglecting the importance of the individual needs. These problems are addressed later by the contemporary development approach which adopts more flexible approaches.

II. CONTEMPORARY APPROACH

Contingency Approach

Unlike the traditional approach, the theorists in the contemporary approach argue that the former is unproductive because it is non-task-related activity. In addition, the knowledge and skills acquired through formal training, the theorists argue, cannot be transferred or applied to real situations at work. On the contrary, the contingency approach focuses on specific situations by using general principles and self resourcing networks for follow-up and reinforcement in order to increase independence from outside consultants, and to help executives face the challenges and risks.

The contingency theorists believe that for executive development programs to be successful, we need to recognize that "different parts of the organization would develop their own direction and impetus to pursue goals" (Molander and Walton, 1984, p. 153). It requires the involvement of senior managers at the lower level in setting standards, specifying priorities, acting as effective trainers, and measuring achievement. The central specialist's task is to guide, offer expert help, understand, and clarify while implementing the vision of the executive development programs. At the heart of this approach is "the need to develop a strategy based on an analysis of the environment in which it will be introduced" (p. 155).

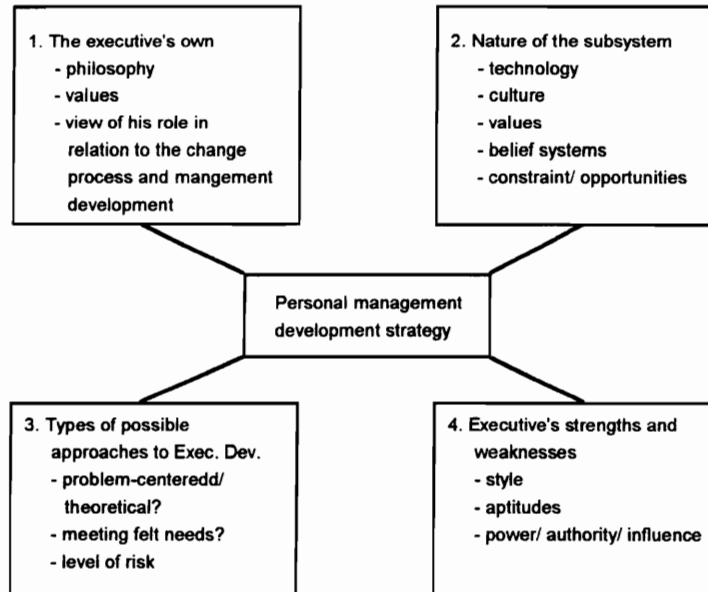
In the process, various learning methods are used at each stage for different purposes. For instance, the small group dynamic method is used at the early stage so that the participants can "test their assumptions and perceptions of their own

working environment" (p. 155). Its purpose is to encourage a feeling of independence. Other methods include instrumental learning methods (experience based) to develop personal skills, unstructured small groups, projects, and so forth. The model is summarized in Figure 2.6.

Through various methods, the participants are able to analyze their roles, their views of the change process, their commitment to action on return to work, and the types of intervention that are likely to meet with some success in their particular work-unit. Although the model is supported by input on role-analysis and personal decision-making, its fundamental significance is in the practical questions which stem from each section (p. 157). Each participant is asked a series of questions in relation to each section of the model. In short, this approach enables them to engage in "discovery learning" and "to apply their learning in relevant situations, with the opportunity of knowing how well or badly they are doing" (Morris and Burgoyne, 1976, p. 58).

Self-development approach

The self-development concepts are developed from a humanist philosophy and a pragmatic philosophy: The theorists believe that the effective development programs must increase the executives' capacity and willingness to take control over and to be responsible for events, particularly for themselves and their own learning (Temporal, 1984, p. 166). In other words, they reflect a belief that a person can, and should, be self-determining and self-actualizing. He or she should be proactive rather than reactive. Feelings and the whole person are all important. Theoretically, this recognition enables the executives to free themselves from



Source: Adapted from C. F. Molander and D. Walton (1984). "Getting Management Development Started: The Manager as Trainer" in *Management Development: Advances in Practice and Theory* edited by C. Cox and J. Beck. p. 157.

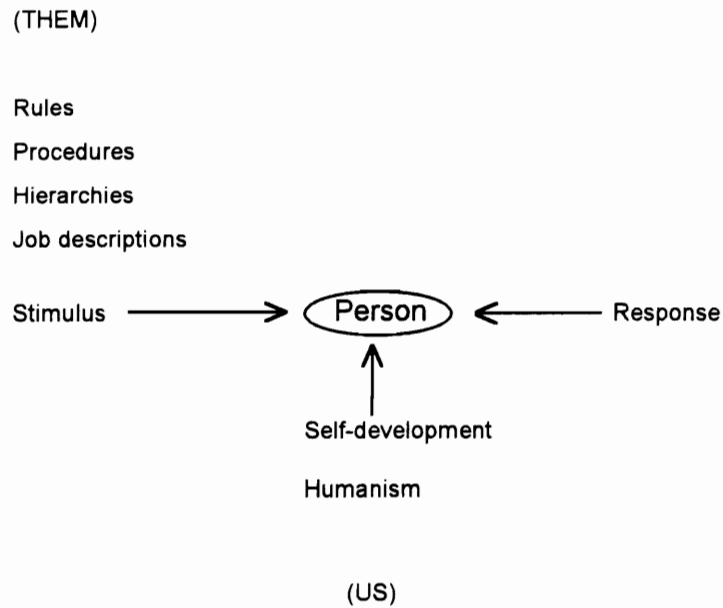
Figure 2.6. Personal management development strategy

being simply role-labeled and role-dependent, allowing them to release a great deal of creative energy (Fineman and McLean, 1984, p. 183).

However, the pragmatic philosophy, when implemented, was more behaviorism than humanism "They had developed a repertoire of responses which had served them well. They had an intuitive, unquestioned understanding of 'the score' at work. They knew what worked and what did not work, from past failures and successes. Few had self-consciously examined their motives. They had no need to" (p. 183). The model can be portrayed simply as follows.

As shown in Figure 2.7, the theorists focus on the 'person,' where self-development lies. However, the person's organizational culture and beliefs are locked into stimuli and responses that characterize behaviorism. Rules, procedures, hierarchies, and job descriptions control and direct the stimuli to which he or she responds. Self-development helps him or her to be self-reflecting and proactive, and to express his or her feelings (p. 183).

In comparison to the other kinds of executive development, the self-development approach can help executives learn and develop. Moreover, the self-development activities give managers time to reflect on their past experiences, to experiment with new learning, and plan their own development and the applications of their learning. (p. 166). To the agencies, its benefits can be summarized as follows:



Source: Fineman, S. and McLean (1984) A. J. 'Just Tell Me What to Do'--some Reflections on Running Self-development Training Programmes' in C. Cox and J. Beck *Management Development: Advances in Practice and Theory* New York: John Wiley & Sons Ltd. p. 184.

Figure 2.7 Behavior models--theirs and ours

1. The encouragement and practice of self-development contributes to the climate of participation that is being encouraged in industry and increases the commitment of individuals who see that they do have some responsibility for, and control over, their destiny.
2. Once established, the self-development philosophy enables organizations that keep up with the dynamics of change as it affects the organizations and the individuals, because managers are encouraged to think about change and improvement.
3. Management development and succession planning are made easier and are brought into sharper focus by discussions that take place with individuals concerning their strengths, weaknesses, expectations, ambitions, preferences, and learning and development experiences.
4. As a result, selection and promotion decisions are likely to be more effective and more readily accepted by individuals who have contributed to evaluating their own achievements.
5. Self-development activities are probably the most cost-effective way an organization can develop its human resources. They produce positive results in an economical way (p. 167).

To individuals, self-development is essential in various senses. For instance, each participant has opportunities to share his or her experience and abilities with others who have different roles, experiences, backgrounds, status, futures, ambitions. The individuals also have time to step out of the work environment and reflect on past experiences, current issues, and future plans related to their development (p. 168).

At the group level, groups can deal with real development problems and issues, and can generate real solutions to them. Group activities are adaptable to the contingencies affecting different individuals in different parts of the organization. In addition, group cohesion and motivation would help achieve both goals of the group and individual, leading to improved work performance and individual behavior.

Theoretically, the self-development concepts can be implemented in the following manners:

1. The executives identify individual and group development needs, problem areas, and issues of concern, and members help each other identify solutions and select the resources necessary to achieve these solutions.
2. The resources selected may be internal or external to the groups, and the groups assess and monitor how effective they are in achieving goals of the individual and the groups (p. 167).

In practice, the self-development philosophy, although desirable in recognizing individual responsibility, has various problems. Many self-development processes, which focus on off-the-job activities, are criticized as happily indifferent to the real world (Mumford, 1989, p. 204). These development processes, such as workbooks, workshops, an assessment center, or individual counseling, have a major pitfall in that they assume learning would naturally be enhanced by self-development.

Fineman and McLean have summarized how the concepts of self-development are implemented in reality. First, what each group of individuals did when it met was up to them--there was no direction from outside. Second, the groups could keep their activities confidential if they wished (although later this was to be a problem in that each group felt the interface between the group and the organization needed managing). Third, the company expected no short-term benefits for itself or individuals. Instead, it was generally hoped that the company would have better managers in the long term as a result of the activities. Fourth, the amount of time spent on self-development activities was to be left to the group members, and fifth, all self-development group meetings were to take place off-site, mainly to avoid interruptions and to produce a more relaxed atmosphere (p. 168).

Action Learning

The idea of action learning was originated by Reginald Revans (1982). His work, which started in the British coal mines after the second world war, has been the foundationstone upon which the principles and methods of action learning have been built. During the nationalization of the coal industry, he found that he and his colleagues learned best by regularly gathering as a team to help each other. Then this idea was developed and applied to management development. Managers reflected on their experience with others in learning projects to extract a personalized theory of management. Instead of providing managers with rules they learn to apply, these managers learned to rely on, challenge, and test out their own intuitive thinking. The logic was to help them learn from their day-to-day practice. Learning from other managers was done through understanding others'

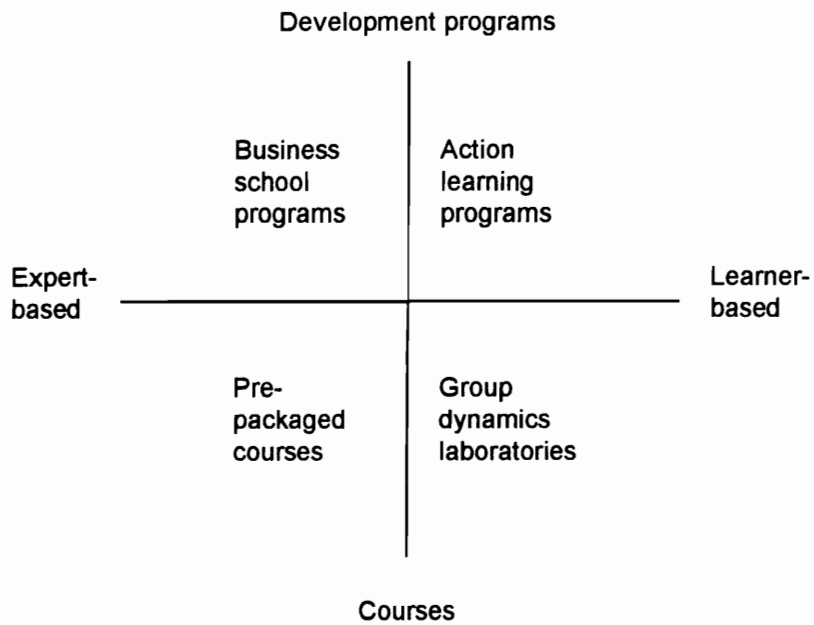
situations and opportunities, and sharing and comparing what they had learned (Margerison, 1988, p. 43). They thus built theory, so to speak, which they then examined in light of the perspectives of others and their research-based findings (Marsick, 1990, p. 51). Revans' principles are as follows:

1. Management development must be based on real work projects.
2. Those projects must be owned and defined by senior managers as having a significant impact on the future success of the enterprise.
3. Managers must strive to make a real return on the cost of the investment.
4. Managers must work together in groups and learn from each other, crossing functional and departmental boundaries.
5. Managers who undertake the projects must be charged with following through on the analysis to gain real action and change.
6. Managers must study both the content (programmed knowledge) and the process (questions and methods) of change.
7. Managers must publicly commit themselves to action and publicly report on outcomes achieved (Margerison, 1988, p. 38).

Marsick and Cederholm compared action learning to other executive development approaches in two aspects: the extent to which executives are taught to rely on themselves or on outside experts, and the degree to which the program focuses on shorter-term skill acquisition as opposed to longer-term development. The comparison is illustrated in Figure 2.8.

While the business school programs focus on long-term learning through the teaching of proven theory by using lectures and case studies, short-term prepackaged courses are centered around expert theory and skill development. In group dynamics courses, the executives learn from and about themselves through interaction with peers, but these courses have an out-of-workplace context. Although in practice the action learning programs also incorporate the use of experts, skill development segments, and personal development strategies, its primary focus is on longer-term development through experience and feedback from peers (p. 51).

Revan's ideas of action learning, when introduced, challenged the traditional learning approach to its very roots. To him, executive development should be structured with varied experience rather than formal static intuition and should illustrate how it can work with various issues ranging from hospitals to developing countries (Cox and Beck, 1988, p. 6). The differences between the traditional learning and the action learning is summarized in Table 1.



Source: Management Institute, Lund, quoted in Victoria Marsick. (1990). "Experience-based Learning: Executive Learning outside the Classroom" *Journal of Management Development* Vol. 9, No. 4, p. 52.

Figure 2.8 Executive Development Programs

Table 1. Differences between Traditional Learning and Action Learning

<i>Traditional</i>	<i>Action Learning</i>
Classroom based	Work based
Individual orientation	Group orientation
Input Orientation	Output orientation
Knowledge Orientation	Action orientation
Passive	Active
Historical focus	Concern with the here and now, and the future
Cost investment	Investment return required
Producer oriented	Market/customer oriented

Source: Charles R. Margerison. (1988). "Action Learning and Excellence in Management Development" *Journal of Management Development* Vol. 7., No. 6, p. 48.

In implementing the action learning approach, Victoria Marsick (1990) has summarized the components of the process as follows.⁴

- (1) project problems that are real, complex, and systematic;
- (2) project teams, the members of which have different backgrounds (education, age, gender, functional expertise) and are not "experts" on the topic;
- (3) a project facilitator, often someone outside the company or work group who is thus not subject to membership expectations, whose role is to help the team learn;
- (4) a program director, often (but not necessarily) someone outside the company, who works with people within the host company to decide on the program's key themes, arranges seminars on relevant topics, coaches the project facilitators, prepares executives and those with whom they work in order to manage work roles during the program, and handles other program logistics (Marsick, 1990, p. 58).

James Kable (1989) applied the concept of action learning to senior administrators from the University of Queensland and Griffith University, Australia. He found that the action-learning process "had turned the course from an impractical, flaccid experience into an interesting, worthwhile endeavor. The participants worked hard because they wanted to do it, not because they were forced into it. The age-old problem of trying to turn conscripts into volunteers, which had required so much energy in the past, had disappeared. This

⁴See *Action Learning in Practice* edited by Mike Pedler (1983). In this book, David Pearce has outlined an action manual on how to get the program started.

management development course was no hoax. It was interesting and it worked" (p. 80).

In their research on action learning programs in hospitals, Wieland and Leigh (1971) found it difficult to measure specific improvements, but there was a feeling amongst the doctors, nurses and administrators that the achievements were primarily in terms of problem solving. Nonetheless, later research showed improvement (Cox and Beck, 1988, p. 6).

From Victoria Marsick's experience, "action learning is a strategy for learning from experience that combines some of the elements of the 'messy' everyday life of executives with some of the benefits of a designed activity that enables executives to make the most of their experience" (p. 51). To Margerison (1988), action learning is existentialist rather than experientialist because it "is related to understanding where you are in the ebb and flow of life and where you are trying to move to" (pp. 47-48).

However, action learning is not appropriate for various occasions, such as when answers are already known, when the learning is programmable, when the learning can be done more cheaply by other means, when the conditions are stable and are likely to remain so, when systematic analysis can give the solution, when the CEO or a group of top people is determined to go its own way regardless of the outcomes (Marsick, 1990, p. 57). The program would be more successful (e.g., it would open up multiple viewpoints through interaction) when persons included in the programs are experts who possess different backgrounds (education, age,

gender, ethnicity, experience, and functional specialties) (Marsick, 1990, p. 53). Moreover, Morris and Burgoyne (1976) point out that any executive development program using the project as a method of learning is seen as creating a "ritual"-- that the learning process is incidental, not systematic and careful planning (p. 60).⁵

Joint Development Activities (JDA)

The term Joint Development Activities (JDAs) covers a wide range of activities which are characterized by people mainly from business organizations working together with management educators on specific development activities. The root of the concept can be traced back largely to the work of Morris and Burgoyne (1973). According to Morris (1980), the JDA approach was essentially the development of resourceful managers based upon developing projects focused on organizational opportunities. Thus, there seems to be an overlap between action learning, self-development work and the JDA approach. However, unlike the other two approaches, the JDA activities were a result of "a particular state of affairs within each enterprise, set out what seemed agreed to be an important state of affairs and made detailed proposals on how to move from one to the other" (Cox and Beck, 1988, p. 7).

⁵John Morris and John Burgoyne (1976) classified the approaches to management development into three simple models: 1) management development as routine; 2) management development as ritual; and 3) management development as drama. Management development is considered "routine" when the management processes are highly rationalized, systematic process of developing routing effectiveness, so that the tasks are becoming definable and demanding technical skills. The result is that the effective executives must be persistent, orderly, and aware. Unlike the "routine" model, the management development as drama is discontinuing in its process. The purpose of discontinuity in training is to motivate the executives to show that they have the qualities to be top executives. Finally, the management development as "ritual" lies in-between the two models. It is a middle ground between the uniqueness and discontinuity of drama. The management development is not routine because it does not take place too often. Neither is it a drama because "the trappings of such courses stress their rationality and predictability" (p. 41).

The practices of the JDA approach have been reflected in the establishment of the concept of management development through consortia (p. 7). For instance, many business schools bring together people who have similar jobs in the same industry in order to allow them to compare and share experiences and learn from each other. Many business schools specifically design their curricula to meet the particular needs and requirements of a company's markets, technology, cultures and philosophy. In doing so, the JDA approach demands that the executives be involved with not only the action research but also the action learning in the future (Cox and Beck, 1988, p. 7).

Existential approach

The idea of adding an existential philosophy to the management development process was developed by Charles Cox and John Beck (1984). They argue that their idea for an existential approach to management development is a new paradigm which is quite different from "the traditional mode"⁶ of emphasizing individual development. In addition, they argue the question is not which one is right, but rather it is a question of how to balance the new and the old ideas (p. 15).

According to this approach, the executives need to see themselves as "a part of the existence of those whom they wish to influence. It is about understanding through association rather than through detached analysis. It is about an involvement in the problems and opportunities" (p. 14). In other words, the

⁶The term "traditional" used in this context is different from the "traditional approach" presented in this literature review. In this context, it is comparable to those contemporary executive development approaches which emphasize individual development such as self-development and action learning.

concept emphasizes the uniqueness of a person and at the same time enhances methods for relating to others. To practice the existential approach, the executives need to be more concerned with people's existence and how they interact (p. 8). This suggests that for the executives to solve problems and make improvements, they must work from the inside (p. 9). In addition, they "must value themselves and aspire to experience an increasing sense of competence" (p. 9). Moreover, the organizations must provide them with the opportunities to define their immediate goals, define their own paths to these goals, relate their goals to the organizational goals, evaluate their own effectiveness, and constantly increase the degree of challenge in work.

The role of the executives is to be educational architects rather than "solution-centered product-dispensing consultants" (p. 10). Their task is to be advisors who provide advice on the most appropriate methods, techniques, and processes in a collaborative working relationship. However, like all architects, the executives must leave to their clients the ultimate decision of how the methods, techniques, and processes are implemented.

In the future, Cox and Beck suggest that there will be four major aspects to executives' roles. Each aspect will involve close association with the existence of the client and understanding his purpose. They are 1) finding out through a variety of means the requirements, needs, views, and political realities of the client; 2) designing, developing, and producing whatever resources are required to improve the situation; 3) implementing the new approaches; and 4) reviewing and

following up in a supportive and integrative way to ensure that the learning has been applied (p. 10).

Concerning future executives, Chester I. Newland (1979) specifically stated that in the time of crisis, the federal executives have no choice but to be futurists (Newland, 1979, p. 57). As futurists, the executives must be concerned with both policy formulation and its implementation. To be able to carry out the administrative transition effectively, they need to know not only new management approaches but also old ones, long tested in public service, such as classical disciplines of learning and professional use of knowledge: study of the known and the unknown, and awareness of situations and of diversity (p. 54). With regard to the democratic values and disciplines, he suggests the executives emphasize 1) learning of self and of others, and 2) search for reasonableness rather than certainty in civic matters (p. 55).

The Andragogical Theory of Learning

The andragogical theory was first introduced to the field of learning in the United States by Malcolm S. Knowles. The term *andragogy*⁷ was derived from

⁷ Other learning theories include the mechanistic (or behaviorist) theories, the cognitive theories, and the organismic (or humanistic) theories. Each has its assumption about the learning of human beings. The mechanistic theorists think of humans as mechanics. Their behaviors can be controlled by controlling the "operant conditioning" or by providing appropriate motivators so that they behave the way they should. Unlike the first group of theorists, the cognitive theorists think that human beings are different from other living things because they possess brains that enable them to think. The last group of the learning theories thinks of human beings as living organisms, who want to develop their individual potentials and search for their own unique-selves. Not only do they have different assumptions about the nature of human beings. These three group of theorists also have their preferred strategies of learning. For instance, the first model prefers programmed instruction, teaching machines, behavioral modification, linear computer-assisted instruction, teaching to terminal behaviors, and drills. The second model prefers didactic instruction, role memorization of information or procedures (e.g., steps in problem solving), and

the Greek words *anere* which stands for adult, and *agogus*, meaning "the arts and science of helping students learn" (Knowles, 1990, p. 6.5). Thus, the word andragogy, when put together, stands for a theory of adult learning. The opposite of the andragogy is *pedagogy* which is derived from the Greek words *paid*, meaning "Child" and *agogus*, meaning "leader of." When used in the learning context, the pedagogy is concerned primarily with the kind of learning a child can learn from his or her teachers, such as basic skills of reading, writing, and arithmetic (p. 6.3).

Assumptions about adults as learners include the following:

1. The need to know,
2. The need to be self-directing,
3. Greater volume and quality of experience,
4. Readiness to learn, and
5. Orientation to learning.

The need to know Adults learn more effectively when they know the reasons for and benefits of learning in comparison to the costs of not learning. They can learn even more effectively if they learn on their own. In terms of Human Resource Development (HRD) programs, those who choose to participate in the developmental program may already have an idea as to how it will benefit them, and thus, have a strong commitment to learning. On the contrary, those who were forced to attend or sent to the program by their superiors or agencies may feel that

standardized testing of "right solutions" to preset problems. Finally, the last model prefers discovery methods, individualized learning projects, and self-directed learning.

they are under compulsion and thus are not committed to the learning and, worst of all resist it (p. 6.8).

The need to be self-directing Psychologically, adults usually desire to take sole responsibility for their lives. By definition, an adult is "the one who has arrived at the self-concept of being in charge of one's life, being responsible for one's own decisions and actions" (Knowles, 1990, p. 6.8). The process of being self-directing gradually develops early in their lives and increases in its maturity as they experience in their lives. This process of developing a self-concept of adulthood can be facilitated by the HRD programs, for instance, through the orientation process, the formal activities and developmental assignments. In any cases, "they should be exposed to the different ideas of learning and being taught and allowed to practice and sharpen their skills in self-directed learning. The key distinction between learning and being taught is the locus of responsibility: the former is in the learners, whereas the latter is in the teachers" (p. 6.9). When learners take some responsibility in the learning process, they learn more, retain what they learn longer, and learn more efficiently. Finally, the idea of allowing the learners to learn on their own does not mean that they are in isolation without help. In fact, the most effective self-learning happens when they get help from peers, teachers, audiovisual aids, and every other kind of resource (p. 6.10).

Greater volume and quality of experience It is self-evident that adults live longer, accumulate greater values and a different quality of experience than children. In adult learning, different experiences can be obtained by making sure that the participants are heterogeneous--"a mix of ages and backgrounds--and that

they are given a wide choice of learning strategies and resources and the extensive use of subgroups or networking linking people (p. 6.10).

Readiness to learn As mentioned, the adults are ready to learn new things that they perceive will bring them greater satisfaction or success in their lives. This characteristic of adult learning has to do with the learning opportunities provided by the program. The readiness to learn can be stimulated by audiovisual presentations, counseling, self-diagnostic procedures, career-planning programs, and performance appraisal for needs assessment rather than a screening process.

Orientation to learning Unlike others, adults see learning as a way to improve their competencies in order to cope more effectively with life, perform life tasks, or solve real problems. With respect to HRD, program orientation needs to be organized around the real problems confronting the participants. In addition, they must be informed of organizational structure, personnel policies, and practices of the agencies.

To apply the andragogical model in practice, the agencies must keep in mind that the andragogical model is *a process model*, not *a content model* that the teacher makes all decisions in advance regarding what knowledge or skills need to be transmitted. Further, he or she also arranges this body of knowledge based on his or her logical thinking, selects the means of transmitting this content, as well as develops a plan for transmitting these content unities in a logical sequence (p. 6.13). On the other hand, in the process model, the teacher (facilitator, consultant, change agent) prepares a set of procedures for facilitating the acquisition of

content by the learners. This does not mean that content is important to one and not to the other. Instead, the important issue to the pedagog is in the transmission of the content, while the andragog stresses the acquisition of the content by the learners. Andragogs see their roles first as the designers and managers of the processes for facilitating learning and second as content resources. Even in the secondary role, they see themselves in a way as educational brokers, linking many other content resources and direct content resources (p. 6.13).

To institute the process model to the HRD program, the agency needs to establish a climate that is conducive to learning. As equally important as the physical climate, the psychological climate should be characterized as mutual respect, collaborativeness (not competitiveness), supportiveness, mutual trust, active inquiry, and openness.⁸

CONCLUSION

Over the past decades, various approaches to executive development have been introduced, ranging from formal processes to informal processes. It is difficult to tell which approach is the best and most suitable for a particular organization. An organization needs to customize the approaches to fit its situations, circumstances, and needs.

⁸See details in Malcolm Knowles (1990). "Adults Learning: Theory and Practice," in Nadler L. and Nadler Z. *The Handbook of Human Resource Development*. Second Edition, New York: John Wiley & Sons, Inc. Knowles also provides a guideline in implementing his andragogical model in this article (pp. 6.17-6.22).

Therefore, it is possible that not all theories, ideas, and approaches presented in this chapter can completely explain actual practices of the executive developmental programs under the investigation. Some may appropriately describe certain aspects of the executive development programs than others. Chapter IV of this study explains and analyzes the information of the executive development programs gathered from various federal agencies. Certain executive development theories and approaches presented in this chapter will be employed to explain the implementation of the federal agencies' executive development program where applicable. For instance, the HRD models of Van Wart and others will be utilized to describe the agencies' organizational structure and components. Part of the analysis will also include the applications of succession planning approaches and nominating strategies by Carnazza, selection process, as well as approaches to the executive development programs. It is important to note that no specific approach to the executive development is chosen in the analysis because the implementation of the federal agencies' executive development program, commonly known as Senior Executive Service Development Programs (SESCDPs), slightly varies in details. Moreover, one theoretical approach may not be sufficient to describe reality as a whole.

Despite the lack of a dominant approach or paradigm to executive development, various trends seem to be appearing in the future. For example, there will be a change in the emphasis of the development from the individual to the group orientation which will allow the executives to learn from each other. In relation to this change, the format of the learning methods will increase in its informality and flexibility in order to facilitate group activities. Finally, another

major change has to do with the continuity of the development. Organizations or agencies need to provide learning opportunities in which the executives can engage on a flexible and continuing basis.

CHAPTER III

RESEARCH METHODOLOGY

A key part of conducting a research in Public Administration is the research design and methodology. Referring to Chapter I, the research inquiry of this investigation is to describe how the federal agencies have implemented the SESCOs. The most appropriate research tools for this study which will be discussed in this chapter is case study or specifically multiple case studies. Although the idea of case study design used in this research is drawn primary from Yin (1989), the author also draws the idea from Marriam (1988) and Lincoln and Guba (1985 and 1988) in order to provide a better clarification .

This chapter discusses the case study research as distinctive from other research methods such experiments, history, and survey. Moreover, it also describes research methodology which includes components of the research design (e.g. research questions, unit of analysis, and criteria for judging the quality of the case study design), data collection, and data analysis.

CASE STUDY RESEARCH DESIGN

As stated, this dissertation will use the case study as a primary method of the study. A case study, based on Yin's definition, is an empirical inquiry that

- investigates a contemporary phenomenon within its real-life context; when
- the boundaries between phenomenon and context are not clear clearly evident; and in which

- multiple sources of evidence are used (Yin, 1989, p. 23).

This definition distinguishes the case study approach from other research strategies such as experiments, history, and surveys. For instance, an experiment separates a phenomenon from its context so that researchers can focus on a few variables. History deals with the interrelationship between phenomenon and context, but usually with **non-contemporary** events. Finally, surveys can be used to deal with phenomenon and context, but their ability to investigate the context is extremely limited. The number of variables to be analyzed is limited which limits the number of questions to be asked.

In light of the nature and context of the SESCO, the case study method is particularly appropriate for this study. It "offers a means of investigating complex social units consisting of multiple variables of potential importance in understanding the phenomenon/real-life situations" (Merriam, 1988, p. 32). The SESCO is a complex social unit with multiple actors involved in planning and implementing the programs. In addition, the SESCO is a national policy which has been operating since 1979. Using the case study method in the investigation of the SESCO allows the author to examine a contemporary event when the relevant behaviors cannot be manipulated. (Yin, 1989, p. 19) This unique characteristic differentiates the case study method from the historical method as the latter deals with the past when no relevant persons are alive to report, while the former deals with real-life situation in the present. Thus, the case study allows use of a full variety of evidence, such as documents, artifacts, interviews, and observations (Yin, 1989).

Finally, the case study method is the appropriate strategy when the research questions involve "how and why" rather than "who, what, and where" (Yin, 1989). As Yin explains, this is because the "how and why" questions are ambiguous and thus require further clarification. The question raised in this study requires an insightful explanation of how the agencies prepare and implement the SESCDPs in order to meet challenges in future years. To answer such a question also requires a study of operational links that need to be traced over time, not through frequencies of what, who, and where questions. Moreover, the answer can be derived from the collection and the analysis of various sources of evidence used, such as interviews, articles, minutes, newsletters, and so forth.

This chapter will describe the research methodology, including

1. components of the research design
2. data collection, and
3. data analysis.

COMPONENTS OF THE RESEARCH DESIGN

The research design of the case study method include the following components:

- the research questions,
- unit of analysis, and
- criteria for judging the quality of the case study design.

The research questions

Determining what to ask is the important initial step in the data collection process. In this process, the semi-structure questions are prepared as a guide to the research inquiry. These questions are derived from the central research themes discussed in Chapter I and determine the kind of data or evidence that is needed to understand how the agencies prepare and implement the SESCO in response to their future workforce requirements. The questions, presented in Appendix A, provide guidelines for each interview and are designed to capture how the agencies actually implement the programs in practice.

Unit of analysis

Theoretically, the unit of analysis can be an individual, a program, an institution, a group, an event, a concept, a process, or an organization (Marriam, 1988: 44, 46). In this dissertation, it refers to the federal agencies actively and currently operating executive development programs. A list of these agencies can be obtained from OPM (Appendix B). According to Yin (1989), when the case is not a rare or unique event, multiple case design is employed. Considering the nature of the SESCO, although each agency has authority to design its program to fit its needs, that design will need to be within the framework requirements of OPM which provides it with guidance and regulations. Thus, each agency is expected to share certain similarities in the implementation of its programs.

In selecting agencies for the multi-case studies, I use Yin's "replication logic." Replication logic is quite different from a sampling logic which considers multiple cases as multiple respondents in a survey. In sampling logic, a number of

respondents (or subjects) are selected to "represent" a larger pool of respondents (or subjects), leading to the assumption that the data gathered from the sample represent the data that might have been collected from the entire pool. "The sampling logic demands an operational enumeration of the entire universe or pool of potential respondents, and then a statistical procedure for selecting the specific subset of respondents to be surveyed" (Yin, 1989, p. 54). On the other hand, replication logic considers multiple cases as comparable to multiple experiments. At its heart, each case is carefully selected so that it either "predicts similar results (a literal replication) or produces contrary results but for predictable reasons (a theoretical replication)" (p. 53).

Drawing upon Yin's ideas of case study design, there are two major categories in case studies--1) single case and multiple case design and 2) holistic, composed of a single unit of analysis and embedded designs, composing of multiple subunits of analysis. By creating a 2 x 2 matrix of the two categories, four types of designs are derived. The first design type is used in a single case design with a holistic unit of analysis. The second design type is applied when the study is involved with a single case design with an embedded unit of analysis. On the other hand, a research study falls into a fourth category when it deals with a multiple case design with embedded units of analysis.

In this study, a Type 3 design is applied because it examines multiple cases with a holistic unit of analysis. Specifically, five cases, besides the Office of Personnel Management (OPM), were carefully selected based on the criteria that the cases must be holistic or composed of a single unit of analysis, and must not be

embedded or consisting of multiple units of analysis. Further, and most importantly, the cases came from agencies willing to cooperate and share information for the study. After the initial contacts with the agencies, the agencies selected for the study were the Department of the Interior, the Department of Labor, the Department of Transportation, the Department of Veteran Affairs, and the Small Business Administration. It is important to note that various contacts were also made with other federal agencies, for instance, the Department of Health and Human Services, the Department of Commerce, the Department of Agriculture, and the Department of Defense. However, the agencies either refused to be included in the study or never responded to the request.

Criteria for judging the quality of the case study design

The three basic tests for judging the quality of case study design are internal validity, reliability, and external validity:¹

Internal Validity

The internal validity or truth value is a question of how one's findings match reality. In other words, do the findings capture what is really there? Qualitative research raises this serious question, and it is extremely significant that the investigation provides a link between the findings and reality.

¹Yin (1989) also adds construct validity to the tests. Construct validity refers to the development of "the sufficiently operational set of measure to ensure that the data are objectively collected (p. 41). The reason construct validity is not used in the study is because it overlaps somewhat with the internal validity. In addition, the threats of construct validity are already guaranteed through the uses of multiple sources of evidence in the data collection process which will be fully explained in internal validity.

Generally speaking, qualitative research assumes that reality is holistic, multidimensional, and ever-changing; and that it is not a single, fixed, objective phenomenon waiting to be discovered, observed, and measured. Thus, it is considered inappropriate in terms of internal validity to assess the isomorphism between data collected and the reality from which they were derived.

However, it must be noted that qualitative research has its strength in its internal validity when reality is viewed as "a multiple set of mental constructions--made by humans; their constructions are on their minds, and they are accessible to the humans who make them" (Lincoln and Guba, 1985, p. 295). Thus, the internal validity of the study (truth value) is guaranteed when the research is able to show that he or she has represented those multiple constructions adequately. In other words, it is the researcher's job to focus on the perspectives rather than the truth per se., and to present "a more or less honest rendering of how informants actually view themselves and their experiences" (Merriam, 1988, p. 168).

To ensure the internal validity in this study, various strategies were employed.

1. Multiple sources of data or triangulation One tactic is to use various sources of data or multiple methods to collect data in order to confirm the emerging findings. In this case study, the primary methods of collecting the data were interviews and documents. The details of the process are explained later in this chapter. To ensure the credibility of the study, data were collected from different sources pertaining to the same information. The first source was interviews with the agencies about the SESCDPs' policies and their operations.

This was followed by interviews with some of the participants who graduated from the programs under the study. Finally, the information derived from the interviews was cross-checked with the written documents obtained from the agencies, e.g., policy statements, the regulations, the Federal Personnel Manual, OPM's regulations, and the agencies' Operational Guidelines.

2. Member checks The purpose of member checks is to verify the accuracy of the analysis and interpretation of the data collected through the interviews. Member checks were done in the following manner. Once the interviews were completed, the tapes were transcribed and stored in the data base set aside for each agency, together with the written notes. Then, copies of the transcribed interviews and notes were sent back to each respondent for verification and comments. This process enhanced the accuracy and credibility of the data and analysis without altering its original meaning.
3. Complete references Complete references were provided for all the events that could not be directly observed. A particular event can be inferred from the footnotes provided to ensure that it was based on the interview and documentary evidence collected as part of the study.

Reliability

Reliability represents the extent to which one's findings can be replicated. That is, if the study is repeated, will it yield the same results?

Reliability is inextricably linked to validity in the research. However, most researchers find it extremely hard to ensure reliability when the term refers to "replicability"-- two studies yield the same results. For one reason, the fact that "a

number of people have experienced the same phenomenon does not make the observations more reliable" (Merriam, 1988, p. 171). Another reason is that what is being studied in Public Administration is assumed to be in flux, multifaceted, and highly contextual. A further assumption is that the information gathered is a function of who gives it and how skilled the researcher is at gathering it. However, these do not "discredit the results of the original study" (p. 72). Several interpretations of the same data can be made and all stand until new evidence shows direct contradictions (p. 72).

The term reliability which typically refers to replications seems to be inappropriate when applied to qualitative research. Lincoln and Guba (1988) suggest "consistency" or dependability of the results obtained from the data. That is, rather than demanding that outsiders get the same results, one wants the outsiders to concur that, given the data collected, the results make sense (p. 172). In this investigation, reliability was ensured through the use of multiple sources of data or triangulation.

External validity

External validity refers to the extent to which the findings of the study can be applied to other situations. That is, how the results of the study can be generalized to explain other similarly situated events.

The question of generalizability is often raised using the case study as an instrument of research. Nonetheless, the case study approach is used because one wishes to understand the particular event in depth, not because one wants to know

realities of many events. To ensure generalizability, the SESCOs of five federal agencies were selected for this study. In addition, in the cross-case analysis, the use of predetermined semi-structured questions also enhances the generalizability of the findings.

DATA COLLECTION

The data collection process is extremely significant to secure the credibility of the study. One method of data collection is definitely insufficient to prevent bias and increase the reliability and the validity in the data collection because it could not give an overall picture of the environment under study.

Denzin (1970) recommends using multiple methods as "the flaws of one method are often the strengths of another, and by combining methods, observers can achieve the best of each, while overcoming their unique deficiencies" (p. 308). The strength of the case study in its use of multiple methods of data collection is also supported by Yin. He states that

[e]xperiments, for instance, are largely limited to the measurement and recording of actual behavior and generally do not include the systematic use of survey or verbal information. Surveys tend to be the opposite, emphasizing verbal information but not the measurement or recording of method behavior. Finally, histories are limited to events in the "dead" past and therefore seldom have any contemporary sources of evidence, such as direct observations of a phenomenon or interviews with key actors (Yin, 1989, p. 96).

In this light, various sources and methods of data collection were employed in this research, including documents and interviews. Each provided bits and

pieces of information found in the setting. When all those pieces of information were taken together, the research questions can be answered and the findings are closely match the reality of the events studied. This section discusses the two methods and sources used in this investigation, beginning with the interviews and documents, respectively.

Interviews

Interviewing is a commonly used technique of collecting qualitative data. By its nature, interviewing is defined as the interaction between the interviewer and the respondent. In the interview process, the interaction begins with the interviewers asking good questions, recording the responds, and evaluating the data collected (Merriam, 1988, p. 71).

The person-to-person encounter used in this study is the most common form of interview in which one person elicits information from another. In this case, an interview is a conversation. However, it is a conversation with a purpose. The purpose of the interview is to obtain a special kind of information that cannot be observed, such as feelings, thoughts, intentions, and behaviors. An interview is necessary when past events are impossible to replicate (p. 72).

Type of the interview: In these interviews, a less structured format with open-ended questions is employed. However, the questions are semi-structured in the sense that there is certain information derived from each of the respondents. The interviews are guided by a list of questions or issues to be explored, but neither the exact wording nor the order of the questions is determined ahead of time. This

allows the researcher to respond to the situation at hand, to the emerging world views of the respondents, and to the new ideas on the topic from the respondents.

In the interviewing process, any human factor which causes bias and distortion is avoided as much as possible. To minimize any distortions, the author refrains from arguing, is sensitive to the verbal and nonverbal messages being conveyed, and, most importantly, is a good reflective listener. "Like the therapist, the research interviewer listens more than he talks, and listens with a sympathetic and lively interest. He finds it occasionally helpful to rephrase and reflect back to the informant what he seems to be expressing and to summarize the remark as a check on understanding" (Whyte, 1982, p. 112 quoted in Merriam, 1988, p. 75).

Whom to interview: The key respondents in the study were the OPM policy analysts, the director of the DOL Academy, the coordinators of the SESCDPs of the agencies, the policy makers, some of the participants in the programs, and the expert or the former SES members who had been involved in the operation and policy making for the CDPs. For instance, the policy makers were the Personnel Director of the Department of Labor and the Director of the Academy of the Department of Labor. The names of the participants were obtained from the program coordinators. About 17 out of 21 SESCDP participants were interviewed, including 2 from the Department of Interior, 4 from the Department of Transportation, 3 from the Department of Veteran Affairs, 3 from the Department of Labor, and 5 from the Small Business Administration (two SESCDP and three District Deputy Candidate Development Program candidates). Overall, a total of 32 interviews were conducted.

Questions to be asked: In the study, a list of questions were prepared so that the information obtained met the purposes of the study and so that the list could be used as a way of motivating respondents to share their knowledge of the phenomenon under study. Each respondent was asked to send background information about the SESCDPs which was used to construct the questions prior to the interviews. Part of the questions was also taken from recent NAPA's study on executive succession planning. Nonetheless, most questions were drawn directly from the research inquiry and from the respondents' reactions during the interviews.

The interview process: The interviews were done in the following manner. First, each respondent was asked for his or her preferences concerning the time and place for the interviews at his or her convenience. Prior to each interview, respondents were informed of the purposes of the study and asked for permission to tape record the conversations, once they were assured of the confidentiality of the information given. Except for the Department of Veteran Affairs, all interviews were recorded. In all cases, I used the prepared semi-structured questions as a guide for the conversation, and the interview was about an hour long. Each interview was different in minor detail.

For example, in the case of the Veteran Affairs Department, the informant asked for a copy of the questions prior to the interview. As a matter of fact, all of the answers were already composed and type-written. Hence, during the interview, I read through all the answers and asked for elaboration and asked other related questions that came up. Since the conversation was not recorded, the

informant was very careful about the information that was given to me while I was taking notes.

Due to the difficulty of getting cooperation from the program coordination from the Department of Labor, my advisor arranged the interview for me with the program director and the personnel director . The interview lasted about one hour. Additional information and interviews were made later with the coordinator of the Department of Labor Academy and the Training Officer of the Employment Training Administration.

For the Department of the Interior, the interview which was planned for an hour actually took approximately three hours due to various telephone interruptions and unexpected administrative meetings concerning the selection of the nominees for a very important position in the Department. Despite the interruptions, the interview went well, and the informant was very helpful during the interview and cooperative with my follow-up interviews and requests.

The interview with the Small Business Administration was scheduled with short notice because of the informant's busy schedule. Although the formal interview lasted less than an hour, the informant was willing to provide all the information needed for the study both during and after the interview process.²

However, I had some technical difficulties in receiving certain information from the Department via a fax machine. The names and telephone numbers of the graduates were faxed to me three times, yet I did not receive them. Finally, I received the information by telephone.

The interview with the Department of Transportation went according to plan with no modification of schedule. The informant asked for the list of questions in advance so that he could be prepared and so that he could make all the relevant materials available to me. The agency was very quick to provide the information I requested. I was told that my study would benefit the department as it was in the process of evaluating its program.

In summary, the formal interviews with the agencies' program coordinators and policy makers were conducted within two weeks. Although the respondents had busy schedules and had to go through a pile of papers, all of them gladly arranged the interviews and cooperatively provided me with the materials needed for the study. Additional interviews with SESCDP participants also went smoothly with the assistance and personal contacts of the program coordinators. Overall, regardless of the time-consuming process in conducting the interviews, the information was successfully collected through the investigation.

Documents

The term "documents" refers to written documents which are a form of communication mode and includes all forms of data not gathered through interviews or observations.

Documents constitute the physical evidence. However, they have been used very little in the case study research for the reason that "documentary data have not been developed for research purposes" (Merriam, 1988, p. 106). The

materials may, therefore, be incomplete from a research perspective. In this matter, Guba and Lincoln explain that

[o]ften no one on the project keeps very good notes on processes, few memoranda are generated, and, even more often, the only writing that is done is in response to founders' requests for technical reports or other periodic statements about the progress of the program or project. If no documents exist, however, or if the documents are sparse and seem uninformative, this ought to tell the inquirer something about the context (Guba and Lincoln, 1981, pp. 234-235).

The second problem with documents is that since they are not produced for research purposes, they may come in a form not fully understood by the researcher. It becomes even more problematic "when the documents are used as secondary sources to verify findings based on other data" (Merriam, 1988, p. 106).

The third problem has to do with their authenticity and accuracy. Even a public record may contain built-in biases about which a researcher may not be aware. However, the distortion in the documents may not be intended by the writers.

In this investigation, despite their limitations, the documents are a good source of data for the following reasons:

1. They are easily accessible with less time and cost.
2. They offer historical understanding of the nature of the SESCDP under study, including the changes and development of the programs and processes.

3. Their greatest advantage is their stability. Unlike interviews, they cannot be changed or altered while being studied. In comparison with interviews, they can be a more "objective" source of data.
4. They are particularly good sources for the qualitative case study because they can ground the investigation in the context of the problem being investigated.

Types of documents included in the study are

- articles, newspapers, and other periodical items;
- letters, memoranda, and other communiqués;
- agendas, announcements and minutes of meetings, and other written reports of events, e.g., OPM regulations, Federal Personnel Manual;
- administrative documents--proposals, progress reports, operational guideline, and other internal documents used during the developmental process;
- formal studies or evaluations of the same "site" under study, e.g., OPM's studies, the studies of the National Academy of Public Administration (Yin, 1989, p. 85); and
- materials used during the development process of the SESCOs.

DATA ANALYSIS

In the general process of data analysis, the two most significant activities in this study include analyzing qualitative data and writing the case study report.

After the evidence is collected, it must be organized so that intensive analysis can begin. At this stage, creating a case study data base or case record is important so that the data can be easily retrieved during the analytical stage (Merriam, 1988, p. 126).

Once the data collection process is complete and the data base is substantially established, the data analysis process begins. Yin remarks that this stage of doing the case study is the most difficult (p. 105). The researcher may be overwhelmed by the amount of data collected, thus not knowing what to do with the evidence. He suggests that a general analytic strategy will effectively guide the analytical process. He states that "the ultimate goal is to treat the evidence fairly, to produce compelling analytic conclusions, and to rule out alternative interpretation" (p. 106). In addition, this strategy also helps the researcher choose among different techniques and complete the analytical process successfully.

In the process of analyzing the data, an explanation-building strategy was used. Its goal was "to analyze the case study data by building an explanation about the case" (p. 113). Yin explains that most case studies using the explanatory building are in narrative form and thus they cannot be precise. The good case studies should reflect significant propositions.

For instance, the case studies of the SESCDPs should provide public policy propositions which can lead to recommendations for future policy actions. He further explains that when the explanatory building approach is applied to multiple-case studies such as this investigation, the result is the creation of a cross-case analysis, not an analysis of each individual case. However, he warns that there is a tendency that the research may gradually drift away from the original topic as the analytic process progresses. To guard against this potential danger, the author used two particular tactics: constant reference to the original purpose of the inquiry and the establishment of the case study data base for each case.

In the investigation, a data file was created for each case in a personal computer. Information obtained from the interview was transcribed and stored in each agency data file and later organized in such a way that it corresponded to the research inquiry. For example, the data in each agency file was categorized into major subjects of philosophy of the program, the HRD system, succession planning, selection process, evaluation process, and others. In this respect, the data was easily accessed and retrieved for further analysis in the next chapter. A well-organized data base made it easy to see whether certain information critical to the investigation was missing so that additional interviews could be arranged immediately. Moreover, this data base facilitated the analysis of the information across all of the cases.

Composing the report

Prior to writing the case study report, each interview was transcribed. Then the information about each agency was installed in the computer within its own case-file. In composing the report, each case was individually described with regard to its HRD system, succession planning, the selection and recruitment processes, the implementation of the programs, and the evaluation process of the candidates' progress in the program. Information concerning the program philosophy, qualifications for entering the program, and the criteria for selecting the candidates were generally discussed for all cases. While writing each case report, I conducted additional telephone interviews with 17 graduates. The names of 21 candidates were given by the agencies. However, one DOL candidate is now undergoing the rotational assignment and, thus, could not be located. Likewise, one graduate from the Department of Veteran Affairs could not be reached due to

his busy schedule. In addition, two DOI's graduates refused to participate in this investigation. In doing so, the issue of credibility was guaranteed by checking the information obtained from the interviews with the participants of the programs with the written documents.

SUMMARY

Chapter four will present the OPM's framework for executive development programs. The following chapter, chapter five, analyzes the case studies, including the Department of Interior, the Department of Transportation, the Department of Labor, the Department of Veteran Affairs, and the Small Business Administration, respectively. The discussion of the case studies begins with the program philosophy, succession planning, the selection process, and the implementation of its SESCDP. Then, chapter six will analyze the patterns or themes that emerged across cases. Finally, the policy implications and conclusions of the study are presented at the end of the study in chapter seven.

CHAPTER IV
EXECUTIVE DEVELOPMENT PROGRAMS
IN THE FEDERAL GOVERNMENT

Title IV of the Civil Service Reform Act (CSRA), Public Law 95-454, Oct. 13, 1979, created the Senior Executive Service (SES), a cadre of general managers capable of serving in positions across the government. Section 3396 of the Act specifically requires OPM to establish systematic candidate development programs for the SES. Further, the law also authorizes OPM to provide for the continuing development of senior executives or to require agencies to establish executive development programs that meet the criteria prescribed by OPM. In the case OPM decides to assist the agencies in establishing the development programs, section 3396(b) requires OPM to monitor the implementation of the programs. To enforce the above law, section 3397 of the Act authorizes OPM to promulgate any regulations regarding executive development.

This chapter describes the SES candidate development programs (SESCDP) as prescribed by the Office of Personnel Management (OPM). It examined the federal regulation Part 412 and the Federal Personnel Manual (FPM), in which OPM interpreted from the law and regulations regarding executive development programs in the federal government. In addition, it also investigated OPM's leadership role from the past to the present, including its recent initiatives.

SYSTEMATIC DEVELOPMENT PROGRAM

Given the authority prescribed in section 3397 of the Act, OPM wrote federal regulations, particularly Part 412, regarding the executive and management development. In addition, OPM also wrote a Federal Personnel Manual (FPM) Chapter 412, entitled *Executive, Management, and Supervisory Development* to clarify the law and the regulations and to provide agencies with a framework and with general guidance in implementing the executive development programs.

Under Part 412 of the regulations, the OPM requires each agency to establish a systematic development program. Small agencies, with 150 or fewer SES positions, can establish the programs either by joining with other agencies or by participating in other agencies' programs. In all cases, the executive development programs must be approved by OPM. To get OPM approval, the programs must meet OPM's criteria prescribed in section 412.107 of the federal regulations, which is further explained in FPM Chapter 412 (subchapter 2). The general requirements for agency executive, management, and supervisory development programs are as follows:

1. define executive, manager, and supervisor positions as part of a distinct second profession with competency requirements beyond those of a specialized occupational field.
2. delineate agency statement of policies and strategies for achieving management excellence, to be used as primary means for communicating agency head's commitment to the "second profession" concept, and for funding and staff levels to reach the goal.

3. coordinate closely the development programs for executives, managers, and supervisors, building on a common competency base so as to minimize overlap and avoid unnecessary costs. Executive Resources Boards will facilitate this through strategic management of a cohesive development system.
4. assess individual and agency development needs for executives, managers, and supervisors in terms of competencies and characteristics required at each managerial level for successful implementation of policies and program initiatives.
5. identify and meet individual development needs as a person makes critical career transition to become a *new* supervisor, *new* manager, or *new* executive, and establish meeting those needs as an agency priority.
6. monitor both initial and continuing development of executives, managers, and supervisors.
7. identify and plan for both short-and long-term agency management development needs, using projected workforce requirements and potential changes in agency mission and goals.
8. consider a variety of developmental approaches and strategies, including formal training, mentoring, coaching, rotational assignments, special work projects, and long-term education and training programs, in determining the best and most economical method of fulfilling individual development needs.
9. operate the developmental programs in order to ensure their full integration with the agency's other personnel management programs and systems, such as recruitment, selection, compensation, performance management, affirmative employment, position management, and forecasting managerial resource needs.

10. establish an evaluation system to assess both program and individual success in terms of agency-developed criteria addressing program cost, program impact on organizational and individual performance, and the extent to which other personnel subsystems are affected and strengthened. (Ungar and others, 1989, pp. 51-52).

In Chapter 412 of the FPM, OPM explains in detail the approach it takes in developing management in the federal government. OPM divides management development or management teams in the federal agencies into three levels: executive, manager, and supervisor, commonly known as E-M-S development. Each level is differentiated by the duties and the scope and breadth of the requirements for that particular job.

As described in the FPM, OPM recognizes the E-M-S positions as "second profession" or "second career" that must be prepared for with careful deliberation and analysis. As OPM explains, most managerial positions are filled by people who possess technical qualifications in specialized professions or career fields. However, the competencies for "second professions" are collateral to those in the career fields.. Thus, this management profession requires competencies beyond those required in a specialized profession. OPM stresses that recognizing the need for additional preparation is essential to developing members of, and candidates for, the SES.

In light of the three levels of management, OPM designs development program activities appropriate to each group of management.

Supervisors

Supervisors are considered the first level of management and are seen as requiring short- and long-term program needs. The management competencies required for this initial stage of the "second career" are basic supervisory skills, and effective communication and interpersonal relations. Most importantly, the supervisors should have an understanding of the federal management role in general and how individual managers contribute to achieving management excellence.

Incumbent supervisors should maintain specific technical or professional competencies and should develop advanced skills in guiding and monitoring subordinates, including leadership skills in taking actions to direct their work units toward achieving results. Moreover, they should keep themselves up-to-date on government-wide initiatives that improve basic administrative and resource management systems.

Managers

Management development systems should be provided to identify potential managers at grade GS/GM-13 through 15, or even at GS-12 level. According to section 412.107(a) of the federal regulations, overall planning and management of the program must be conducted by the appropriate Executive Resources Board (ERB).

For new managers, the development should be focused on broader job responsibilities, including a clear understanding of the managers direct role in

implementing national policies and programs and the relationship between these policies and programs and supervisory and executive behavior. In addition, the managers should acquire new management competencies, such as managing resources effectively under various central management agency policies and programs, and cultivating and applying their visions and initiatives to new settings.

Incumbent managers need to keep abreast of technological changes, and of relevant policy and program initiatives. Moreover, they need to develop new skills to meet the requirements of the positions into which they plan to make career transitions.

Executives

As the law clearly states, OPM requires that the agencies provide systematic development for and within the SES positions. Under 5 USC 3396(2) and 5 CFR section 412.103(a), agencies are obligated to establish programs for the continuing development of the SES members. The most effective executives are able to perform their tasks with highly developed competencies and are able to apply their skills in a highly complex and constantly changing environment. Executives must know about technological developments, new legislation, innovative management practices, and current policy and program initiatives. As with other kinds of development, the SES individual development plan (IDP) is used as the primary tool and is regularly updated to ensure that the executives remain competent and up-to-date in appropriate areas.

The final kind of management development is the development of SES candidates. Agencies are required to provide such development programs to prepare potential candidates for the SES positions. Candidates are recruited primarily from the group of individuals below the SES, at the GS/GM-15 level. Agency ERB makes overall decision of and administer these programs.

As stated in the FPM, OPM took a strong role in designing the requirements for these programs because of the specific statutory responsibilities concerning the implementation of the SES candidate development program in the agencies. With statutory support, OPM offers guidance and framework for the agencies regarding the recruitment of SES candidates and the developmental requirements (formal and informal training, and senior advisors or mentor).

In the FPM, the recruitment process for the SESCO is subject to merit staffing procedures equivalent to those required for filling SES positions. Agencies are required to recruit individuals with career-type positions in the federal government or individuals from outside the federal government who may be appointed for career-type civil service positions

In terms of the developmental requirements, each participant has to develop an IDP which must be approved by the appropriate ERB. The IDP identifies the developmental experiences designed to provide competency in the specific executive activity areas considered in the executive qualifications review process. The IDP must also include developmental activities in current, formal, interagency, executive-level training--whether experience arises from

governmental or non-governmental service. The training courses taken must be approved by OPM. Formal courses currently approved by OPM include the following:

- American University's Key Executive Program;
- George Washington University's Contemporary Executive Development Seminar;
- Harvard University's Senior Executive Fellows Program (Kennedy School of Government);
- Industrial College of the Armed Forces' regular program;
- National War College's regular program;
- OPM's Executive Development Seminar (at Executive Seminar Centers in Denver, Colorado; Kings Point, New York, and Oak Ridge, Tennessee);
- OPM's Executive Excellence Program (at Federal Executive Institute¹, Charlottesville, Virginia)--SES candidates must be at the GS/GM-15 level in order to attend this Program (see Appendix A);
- OPM's Washington Executive Seminar (at Government Executive Institute, Washington, D.C.); and
- Carnegie Mellon Senior Executive Seminar.

¹The Federal Executive Institute is one of the most prestigious general management executive programs of the federal government. It was founded in 1968 for executives at the GS-15 level and above. The four-week residential programs give executives an opportunity for extensive study, reflection, and interaction. Nine major programs are scheduled in Charlottesville annually, with sixty participants in each. The program design is intensive, emphasizing personal as well as professional growth. The current program, entitled *Leadership for a Democratic Society*, stresses opportunities to reflect broadly about career and family as well as government. The program includes a health and wellness component and an individual financial planning module to balance the many technical and administrative sessions occurring during the program. Recently, a shortened version of the Charlottesville program was implemented in Berkeley, California.

These courses must promote competence and effectiveness by establishing a working knowledge of executive roles in government in the following areas:

- six competency areas (or executive activity areas from the qualifications review process) concerning integration of internal and external program and policy issues; organizational representation and liaison; direction and guidance of programs, projects, or policy development; acquisition and administration of resources; utilization of human resources; and review of implementation and results (see Appendix C);
- showing sensitivity to political, economic, and other non-technical factors; and
- approaching issues with a strategic view and broad perspective.

Finally, each participant must have a senior advisor or a mentor who is an SES member. The mentor or senior advisor's task is to assist the participant with a broad, long-term perspective and insight about the organization's management; to help the participant prepare IDP; to arrange developmental assignments; and to monitor the participant's progress. Once the participant has completed the program successfully, the appropriate ERB must request that the Qualification Review Board (QRB) certify the individual's qualification for SES. The eligibility to be non-competitively placed into the SES position is limited to three years.

OPM's ROLE

In the past, OPM has reevaluated its roles and responsibilities for executive training and development. After various revisions, OPM has taken a more active leadership role in various aspects. For example, OPM has taken a strong leadership role in providing the agencies with direction. As explained in Chapter

412, the leadership role involves 1) setting policy and offering guidance for the development of executives, managers, and supervisors; 2) monitoring and evaluating the federal government's programs toward achieving management excellence; and 3) making OPM services and assistance available to agencies as needed.

Policy-setting role

As mentioned, OPM expects the federal agencies to take the initiative to design and administer their own systematic programs for developing supervisors, managers, and executives. OPM also expects the programs to conform or to be consistent with its requirements. When the agencies need assistance, OPM expects them to call upon its services and assistance.

OPM oversight role

According to OPM officials, OPM has not been able to perform its oversight function as effectively as it desires for two main reasons: major reorganizations and reductions in force (RIF). Thus, OPM has not been able to provide the agencies with effective and sufficient guidance and oversight over the establishment and maintenance of programs.

During the early development of SESCO, OPM relied on a review and approval process, as described in the 1980 regulations, to oversee the agencies. In these regulations, OPM required the agencies that were appointing more than five career SES to submit annual updates of their program. However, the annual review of agency programs was discontinued in 1982 and was replaced with long-

term approval in 1983. Unfortunately, the long-term review was later canceled the same year because of the exorbitant time spent making on-site visits and reviewing the programs.

Despite the cancellation of the requirement of agency submission of program update requirement, OPM still had the regulatory responsibility of approving agency development programs without receiving any information on agency executive and management development programs.

In 1984, OPM issued the Federal Personnel Manual Chapter 412 to strengthen its regulatory authority in monitoring and evaluating agency development programs. With new procedures, OPM believes it can accomplish its regulatory task through the use of available data systems, results of periodic on-site agency reviews, and federal feedback from agencies.

Since the new procedures were initiated, OPM has not been able to implement these procedures to oversee, evaluate, and assist the agencies due to the reduction in the numbers of staffs in executives and management development who were involved with oversight, agency assistance, and policy development. These reductions occurred mostly in 1983. In addition, between December 1981 and December 1988, the number of staffs was reduced from nineteen to two. At present, OPM officials have no one who is working actively and closely with the agencies. In fact, OPM has only one person who occasionally visits the agencies to see what is happening and to see whether the agencies need any assistance from

OPM. A true oversight and evaluation of the agencies' SESCDPs never occurs in practice due mainly to the lack of staff and to the time needed to do so.

Other OPM initiatives in reassessing its roles and responsibilities in executive development include its responsibilities for agency CDPs, its new guidelines on executive mobility in the government, its Senior Executive Fellows Program, and the strengthening of its Federal Executive Institute. For instance, in December 1987, the Director of OPM created a Management Development and Training Coordination Committee (as a follow-up to the 1986 conference sponsored by OPM and the President's Council on Management). The committee's task was to examine OPM's approach to and organization for providing executive development services to the agencies (GAO's report, p. 37). The committee recommended OPM be an active leader by examining how effective OPM's programs were and whether they meet the needs of the federal agencies. Through its efforts to improve the executive development programs, OPM learned more about what other federal agencies need and what is expected from the federal executives. This enabled OPM to improve its overall leadership role in assisting the federal agencies.

LEARNING FROM THE PAST

Prior to considering the most recent OPM initiative to strengthen its leadership role, it is important to see what OPM can learn from its experience in the area of executive and management development.

Management competency

The six competencies are a set of knowledge, skills, and abilities (KSAs) that every executive, manager, and supervisor should possess in order to perform his or her functions productively and effectively. These competencies were derived from the survey conducted during 1980-1983, and thus they were appropriate to the situations and environments of the executives, managers, and supervisors during that period. However, the current environment of federal executives had increased in complexity and is so highly technical and computerized that the current and incumbent executives need to learn new KSAs. Due to the technological complexity of the present federal government, each level of managers may require different kinds of competency at different degrees of difficulty in order to perform their functions.

Individuals' needs and organizational effectiveness

The Individual Development Plan (IDP) was developed or intended to identify the candidates' strengths and weaknesses for each competency. Since the IDP is competency based, it is not difficult to see the kinds of training and development necessary for the candidates to perform each competency effectively. Therefore, the IDP has a major advantage in fulfilling the individuals' needs becoming effective executives, managers, or supervisors. However, the IDP neglects the significance of organizational effectiveness. It assumes that as the individuals fulfill their needs, they will automatically achieve organizational effectiveness and meet the organizations' needs at the same time. This has not actually happened because there is no mechanism to ensure that happens and

because there is no measurement tool to effectively evaluate the individuals' performances during the development process.

Another drawback of the IDP is that it is not "a career plan" for becoming an effective SES. In other words, it only identifies the kinds of training and development activities for a particular job for a short period of time. It does not assist the candidates in planning for their executive careers, their "second profession." A key to the needs assessment system is to regularly identify 1) the individuals' needs for completing the CDPs for their executive career and 2) the organizations' needs and effectiveness.

Continuing development

As the regulations state, once the candidates successfully complete the CDPs, they are eligible for non-competitive placement in SES positions. The eligibility is limited to three years after the completion. In 1990, OPM sent questionnaires to 166 graduates who are still awaiting placement. The results indicate that 46 percent of the respondents prefer an indefinite time period. If a limited term of eligibility for the SES is essential, most prefer to participate in continuing training and development either in a general (47 percent) or in a specific (14 percent) skill area depending on the requirements for extending the eligibility.

Another issue arising from this limited term of eligibility for SES is an issue related to career development of the individuals. It is possible that those graduates from the formal CDPs who are not promoted to the SES positions may find their

"careers" shadowed. As career-executives, the graduates tend to have expectations that their executive careers are long-term and continuing investments in training and development that assist them reaching their highest proficiency for each competency. However, the formal CDPs, as described in FPM 1984, does not provide them with guidance to do so. This kind of training and development can be seen in many CDPs discussed later in this research. In addition, it is also one of the other major problems that OPM attempts to solve in its next development in the executive and management development area.

Succession planning

Another problem area arising from the limited term of eligibility is succession planning. The issue of succession planning is even more significant currently because one-third of the SES members are eligible for optional retirement in 1994. Nonetheless, many agencies do not engage in any succession planning. As a result, some CDP graduates currently await placement in SES positions. The problem can be attacked by institutionalizing succession planning in the federal agencies. A full system of succession planning is required and should be linked to strategic planning that is flexible enough to cover the loss in 1994, the possible reduction in force (downsizing) which may need to be accompanied with reorganizations, the increase in diversity in the workforce, and other possible technology-driven changes and changes required by the new administration that might require changes in numbers, distributions, and competency in the executive staff.

OPM's RECENT DEVELOPMENT

OPM recently reassessed its view toward developing "systematic development" of the SESCDP. The 1986 policy options paper suggested that the SESCDP should be viewed as long-term development, not relative development within a short period of time prior to executive appointment. An attempt to strengthen OPM's leadership role was initiated in 1990 when representatives from various federal agencies, academia, and private organizations were invited by OPM to form a Task Force on Executive and Management Development. With the Task Force's recommendations, a Human Resources Development Group was created, which included 1) providing guidance on how to prepare individuals for executive, management, and supervisory positions; 2) administering executive personnel systems; and 3) providing guidance on the continuing development of federal executives, managers, and supervisors.

In September 1991, OPM wrote a status report o the Task Force on Executive and Management Development, which summarized the main ideas addressed by the representatives on the Task Force. This status report is a mainstream development of current and future executive and management development in the federal agencies. It provides a set of proposed training and development policies for the federal government, directing how the executives would be successfully developed. The most significant proposal in the report is the idea of "policy matrix" which is a basis for OPM's further development in the executive and management area.

Policy Matrix

The policy matrix idea is a well-defined policy for training and development in the federal government. The idea has been widely discussed by a large number of interested and influential groups and organizations, including the President's Council on Management Improvement, development and agency personnel directors, training directors in Washington and the field, Federal Executive Boards, union representatives, professional association, and others.

After widespread discussion throughout 1991, OPM developed an OPM Action Plan which reported the status of OPM actions in various aspects of the executive and management development areas--what had been done, what was currently implemented, and what will be done in the future. Many ideas in the Action Plan currently have been implemented. Some, which require extensive study and analysis, are now in the legislature and/or undergoing the regulatory process for approval.

At the heart of the policy matrix idea is *the Development of Human Resources: A Career Path Approach*, commonly known as *the career path philosophy*. This new philosophy is an essential element in the proposal and, thus, is woven throughout the document. The concept of the career path is new to federal executive and management development. It outlined "a systematic approach" to training and development, which was the initial intention of the CSRA, requiring a systematic needs analysis and planned learning at each stage in the process. The process begins with a federal employee's initial appointment to a career position and promotion through levels of supervision and management to

SES. This systematic approach corrects the common practice in many federal agencies that do not have continuing, long-term development opportunities for the qualified individuals to develop or qualify themselves for higher positions with variety of responsibilities that help broaden their knowledge and skills.

New Management Excellent Framework (MEF)

In the revision of Chapter 412, a new Management Excellent Framework (MEF) is proposed. MEF, as defined in the proposal, is "a model that describes the competencies needed by federal supervisors, managers, and executives to perform effectively in their positions." The competencies include not only knowledge, skills, and abilities (KSAs), but also traits, attitudes, motives, and perspectives that the individuals bring to their jobs. OPM designed MEF in response to the results of the Leadership Effectiveness Survey (LES), conducted in Fall 1991 to identify the knowledge, skills, and abilities contributing to effective and successful executives, managers and supervisors. OPM believes that the present functions of federal executives are increasingly technical and highly computerized and demand more emphasis on leadership skills. In addition, there is a need to optimize the reduced resources in order to accomplish unlimited missions. Therefore, the old research conducted from 1980 to 1983, which presumed that all levels of management (executives, managers, and supervisors) required the same six competencies, needs to be revised.

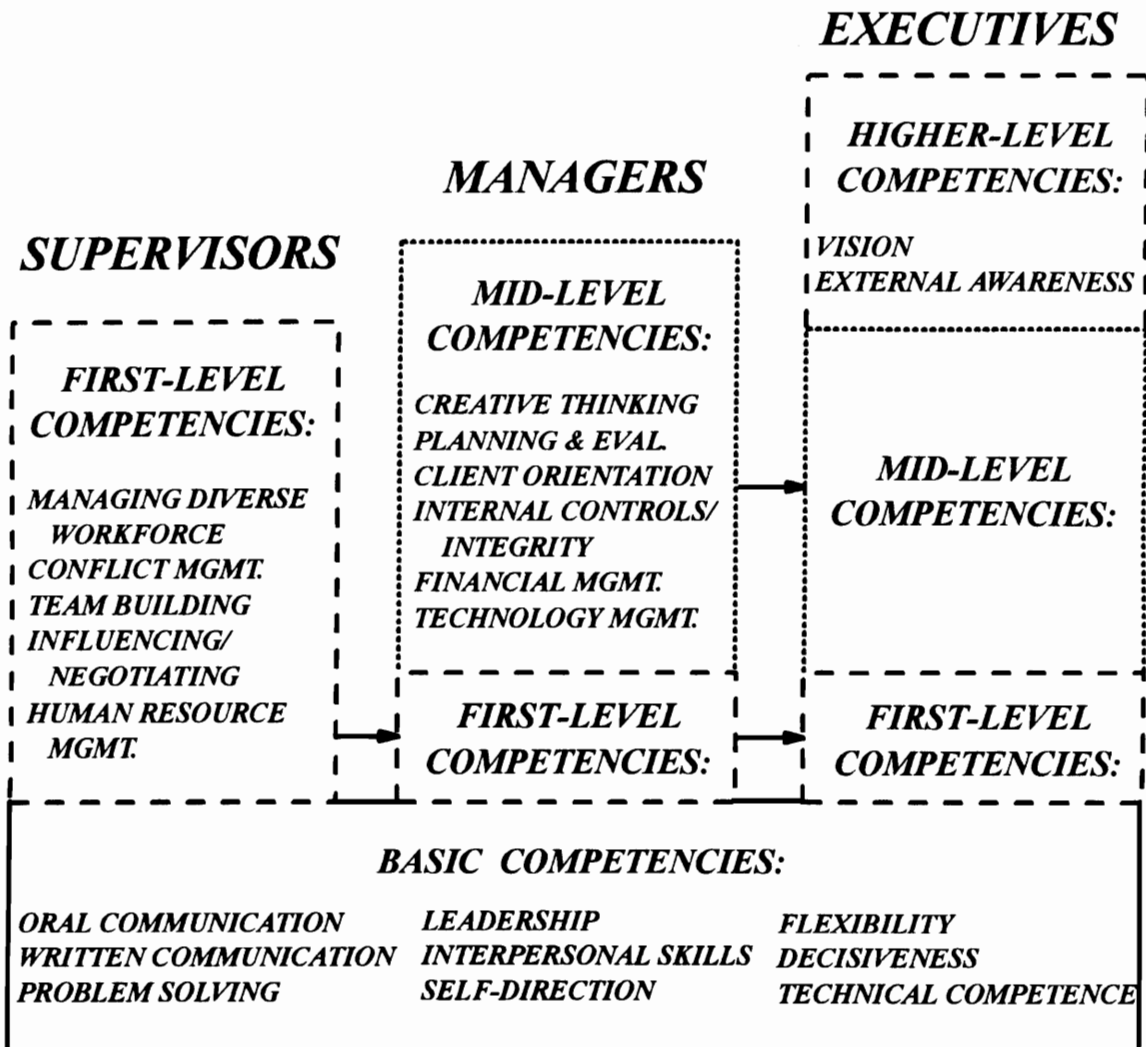
The LES was sent to 21,770 federal executives, managers, and supervisors, including 1,763 SES members. The pre-test of the survey was conducted at the Federal Executive Institute (FEI) and the Executive Seminar Center. The survey

addressed the questions of what helps make their performance effective and how important these factors are for entering into an executive, managerial, or supervisory position.

From the results of the survey, common competencies at all three levels were identified. Additionally, it was found that there were additional competencies closely associated with particular positions. For instance, all three levels of management require effectiveness in oral communication. However, the next important factors for executives and supervisors were problem solving, written communication, and leadership, respectively.

The results of the survey not only redefined the competencies at all levels of management, but also provided OPM with the information necessary to develop executive, managerial, and supervisory development policy, programs, and practices. OPM, then redesigned the MEF by summarizing the competencies needed to perform effectively at the executive, managerial, and supervisory levels (see Figure 4.1).

Figure 4.1 presents nine basic competencies required for all three levels of management, including leadership, interpersonal skills, oral and written communication, and technical competence. In addition to basic competencies, those in the executive level need to have other particularized competencies. For example, the supervisors, first-level management, need to have first-level competencies in order to perform their jobs effectively, including managing a



Source: Adapted from U.S. Office of Personnel Management (1992). *Executive Succession Planning Conference Report* Washington, D.C., July, p. 115.

Figure 4.1 OPM's Basic Competencies

diverse workforce, managing conflicts, team-building, influencing, and managing human resources management.

For the managers, besides the first-level competencies, they need additional skills and knowledge in creative thinking, and in planning, evaluation, client orientation, internal controls, financial management, and technology management. In addition, the executives, the highest level of management, need not only basic and mid-level competencies, but also the higher level competencies in vision and external awareness in order to be effective executives.

Proficiency level

The proposed revision of the executive and management development programs is extremely "systematic and logical" in the sense that the concept stresses the development of the first-level managers to succeed to the mastery level for each competency at their level. To operationalize the idea, OPM proposes a proficiency level--the degree of effectiveness the executives, managers, and supervisors can perform in their functions. As an OPM official explains, at each level of management (executive, managerial, and supervisory), the executives', managers', and supervisors' proficiency in performing their functions at their management level is categorized into three levels--novice or beginner, experienced, and master.

The novice or beginner has limited ability in a competency and thus needs further training and practice. The experienced, on the other hand, is able to perform the competencies without any coaching assistance. Finally, the master is

the one who is able to perform the competency at a high level, resulting in increasing organizational effectiveness. This effectiveness is also recognized by peers, subordinates, and supervisors, a recognition that the master is capable of applying the proficiency to many situations.

For instance, for the managers to improve their proficiency level in order to become masters at the managerial level, they need to be trained and develop with a planned sequence of formal training and developmental assignments, beginning with awareness training and development for the novice, skill building training and development to move from the novice to the experienced, and the mastery training and development to become masters through the use of complex examples in the federal government.

MEF's findings support the proficiency concept that higher levels of management build on the skills they performed perfectly at the earlier levels. In other words, the best way to prepare managers is to have all the supervisors performing at their highest level of proficiency. As they are promoted, the managers only need to learn the additional competencies required for management. The same holds true for those who move from manager to executive. The developmental process should begin with formal training, followed by developmental assignments together with short formal training experiences concerning one competency at a time. This process should continue until they become master of that position, which process will require a number of years of training and development.

Management Executive Inventory (MEI)

Another proposed change in executive and management development is the revision of the Management Executive Inventory (MEI), the tool that OPM designed for the agencies to use in assessing the knowledge and skills of the executives, managers, and supervisors in order to determine their training and developmental needs. With the analysis of the LES results, OPM designs the inventory that meets what the agencies identified as being important to them. As promised, OPM worked to design an easy-to-use tool which helps the agencies develop their need-assessment system, describing the competencies of an occupation or a position so that they can compare the desired performance to the actual performance, which in turn helps determine the need for development and/or training.

Under section 412.104, OPM allows the agencies to assess the individuals' competencies both formally and informally. Formal assessment involved the MEI that has just been described, whereas the informal assessment system usually deals with the use of a checklist and a conversation between the managers and his or her supervisors.

Candidate Development Programs (CDPs)

Section 412.105 of the present regulations states that OPM requires the federal agencies to develop systematic development programs for SES positions. In general, the agencies use formal candidate development programs (CDPs) to develop the candidates who are selected on a competitive basis. After the

completion of the programs, the graduates have advantages in eligibility for competitive placement in the SES position for three year.

Under the proposed revision of the regulations, OPM is convinced that the CDPs at the supervisory and managerial levels are effective in preparing for the "second profession" and in identifying exceptional candidates. In addition, the programs can be used to improve the representatives of the women and minorities candidates and candidates with disabilities in management positions.

OPM also proposed a slight modification in the federal training. In the new proposal, the agencies may select any training program, not only OPM-approved formal training programs. However, the program selected must have a minimum of 80 hours of training in executive competencies in an interagency setting, including university, non-profit organizations, non-government training organizations, or interagency providers like OPM.

OPM replaced the IDP requirement with an SES development plan, prepared from a competency-based needs determination, covering the period of the program, and approved by the ERB. In addition to the formal training requirements, OPM also emphasized that candidates should get involved in rotational/ developmental assignments for the total of at least four months in order to broaden their experience and/or increase their knowledge of overall functioning in the agency and in the department. Further, to assist the candidates in their developmental process, they need to have at least one senior manager to serve as

their mentor. In this new proposal, OPM requires that the mentors receive training in order to perform their roles effectively.

In recognition of the statutory requirement that entrants to SES positions must be selected competitively government wide, OPM canceled the exception given to small agencies with 150 or fewer SES positions from Governmentwide recruiting the candidates for the CDPs. This is because those successfully completing the programs are eligible for noncompetitive placement in the SES positions.

Based upon their discussions with other agencies, OPM realized that the three-year eligibility period for non-competitive placement for the graduates in the SES positions is very limited. Therefore, OPM proposes removing this provision (section 317.502(c)). The certification will remain active as long as the graduates participate in continuing developmental activities and/or periodic updating of skills. This can be done by 1) updating their career enhancing plans and getting agency ERB approved at a minimum of every three years and 2) improving their summary performance ratings. OPM also adds that the certification can be withdrawn if the candidates do not complete activities outlined in the plan or if the candidate shows no improvement in the developmental activities.

Succession Planning

The pay increase for SES members in January 1991 stimulated an expected "high three" in 1994 in order to maximize the average salary on which pensions will be based. As mentioned above, it is estimated that about one-third of the all

career SES members are eligible to retire in 1994. This number includes approximately one-half of all SES scientists and engineers. Such an event provoked OPM to prepare for in the future and to be prepared for any assistance the agencies might need. Therefore, OPM organized a meeting on succession planning in July 1992. The participants were the representatives from the agencies that have active succession programs. As a result of discussions held there, the OPM took another step by scheduling a government-wide conference on succession planning in April 1992. At these conferences, representatives from various agencies, including agency Director of Administration, Executive Resources Board Chairperson, Personnel Directors, and other officials, had an opportunity to share their plans and programs. The information each agency provided during the *Succession Planning Conference* has inspired other federal agencies and offered various ideas for implementing succession planning.

CONCLUSION

The Civil Service Reform Act (CSRA) 1978 delegated authority to OPM to establish the executive and management development in the federal government. Since that time, OPM has tried to carry out the statutory requirements. For the past years, from the first regulations and Federal Personnel Manual (FPM) Chapter 412 to the present, OPM has learned from its experience to become an active leader. Considering the current status of the executive workforce, the time appears to be right for OPM to take the opportunity to strengthen its leadership role by revising the old FPM. Although the new system is systematic and comprehensive, the effective and efficient implementation of the system depends on the manner in which the federal agencies apply the broad framework and guidance to their

organizational settings. In addition, it is too early to evaluate the new proposal since it is still under consideration. Even once the proposed revision is passed, it takes time, at least ten years, for the new system to become effective and institutionalized in the federal government. However, I believe OPM is available whenever the agencies need any assistance. What needs to be emphasized in the future is the evaluation of SESCDPs. No matter how time-consuming and labor intensive such an evaluation would be, it is worth doing to determine whether the agencies appropriately implement the SESCDP as described in the FPM.

CHAPTER V
AN ANALYSIS OF THE SENIOR EXECUTIVE SERVICE
DEVELOPMENT PROGRAMS (SESCDPs) OF
FIVE FEDERAL AGENCIES

This chapter analyzes the Senior Executive Service Development Programs (SESCDPs) of five federal agencies. The findings of the investigation are discussed in association with the Office of Personnel Management's framework described in the previous chapter. The chapter begins its discussion by describing the characteristics of the program, the qualifications for entering the program, the Human Resources Development system, succession planning, the criteria for selecting candidates, the selection process, and the developmental process. In addition, the executive development theories discussed in Chapter II are also applied to the cases when applicable.

CHARACTERISTICS OF THE PROGRAM

SESCDP was customarily designed to identify and develop outstanding federal employees who had demonstrated high potential to assume SES positions in the federal agencies. These programs are part-time, lasting from 18 to 24 months, except the Small Business Administration (SBA) program which lasts a minimum of nine months. Candidates were selected through a rigorous, merit-based process which included background screening, interviews, and/ or assessment-center testing. The qualified candidates were exposed to a variety of developmental experiences designed to enhance leadership skills and knowledge of the agencies' program areas. Their development was guided by SES members and

the Executive Resources Board (ERB) which monitored their progress and certified their successful completion of the program. However, participation in and successful completion of the program did not guarantee participants a career Senior Executive Service appointment.

QUALIFICATIONS FOR ENTERING THE PROGRAM

The qualified applicants must be currently serving or have served in a GS/GM-15 position in the Executive, Legislative or Judicial Branch of the Federal Government, or in one of the independent Federal or non-Federal Agencies. The agencies also considered applications from those in GS/GM-14 who were exceptionally well qualified. In addition, the applicants must have similar experiences at a comparable level. Selectees who are not Federal employees and do not have career or career-type appointments, are hired for full-time positions under Schedule B.

Regardless of their positions, all applicants must have sufficient knowledge and experience to direct activities as performed in the elements of the Department. Moreover, they must also demonstrate a clear potential to perform executive-level tasks as outlined by the department.

HUMAN RESOURCES DEVELOPMENT MODEL

Successful implementation of executive development programs requires a good human resources development (HRD) system. The quality of the federal agencies' HRD systems depends heavily on the complexity of the training or executive development unit designated to administer the SESCO. In this

investigation, it was found that the agencies were still in need of human and technical resources support from the federal government. In the forthcoming analysis, each agency's HRD system was analyzed by utilizing the previously described HRD models drawn from Van Wart and other scholars.

The Department of Interior (DOI)

Drawing upon Van Wart and others' models of HRD in the public sector, the HRD functions of the DOI are comparable to the Rudimentary model (Van Wart and other, 1993, pp. 41-42). In the rudimentary model, only one person is designated a program coordinator. The coordinators may work half-time or may have a support staff person assigned to the HRD function. They are responsible for handling incoming information regarding training and development. In addition, they may also take charge of general orientation, one or two basic training classes, and a newsletter listing all of the technical training that is routinely conducted by line departments.

According to recent changes in the organizational structure of the DOI under the new Secretary, the Assistant Secretary for Policy, Management, and Budget is responsible for all decisions related to SES matters, including overall management and coordination of the SESCO. Under the umbrella of the Assistant Secretary is the Deputy Assistant Secretary for Human Resources, who is a political appointee. The Executive Resources Board (ERB) is composed of the Assistant Secretary, acting as a Chair, the Deputy Assistant Secretary for Human Resources, the Chief of Staff, and the Principal Assistant Secretary for Policy, Management, and Budget (career member). The Board approves the

department's executive development plan and appointments to the SES, monitors the merit identification and selection process for candidate development programs, recommends Meritorious and Distinguished Executive awards to the Secretary, approves all SES salary rates and changes, approves exceptions to the guidelines on performance bonuses, and approves sabbaticals.

The Office of Personnel, under the Deputy Assistant Secretary for Human Resources, houses the Division of Development and Training Management responsible for the SESCO. According to the DOI official, the DOI has a manager (or coordinator) responsible for the SESCO. The program responsibilities take about 40 percent of the manager's time in addition to other policy-making responsibility. As I was told, the SESCO manager has no permanent staff support. The only possible assistance must come from the part-time assistance of the Division Secretary, who serves five managers. Occasionally, the manager has been able to get an intern to assist from one of the supervisory or Management Development programs that rotate through the office for one or two months at a time.

Due to the lack of assistance, the SESCO manager in DOI sometimes has to get involved with the orientation and seminars required by the program. From the previous implementation of the SESCO, the manager gave an introduction to the *Career Development/Executive Leadership* seminar to clarify and to provide an overview of program requirements. In addition, he also provided consultations concerning the individual needs assessment or Management Excellent Inventory

(MEI), the development of the Individual Development Plan (IDP), and mentoring for the seminar.

Regarding technical assistance, the manager needed help from a designated person in the Office of Personnel. For instance, he had to calculate the projected number of SES members who are eligible for optional retirements prior to the beginning of the SESCO, including updating statistical data about SES members and SES candidates. Because of the lack of a personnel database, he had to do it manually, but with the help of a system person designated by the Office of Personnel. Overall, the HRD function system of the DOI is very rudimentary despite the institutionalization of the SESCO.

The Department Of Labor (DOL)

The HRD function of the DOL is very close to the *Developed Training Department Model* described by Van Wart and others (Van Wart and Others, 1993). According to this model, such an organization has a differentiated training department apart from the personnel functions. The training departments have their own training staffs, and most training is operated by the training department.

In the case of the DOL, the department created the Department of Labor Academy to assist DOL agencies in establishing the SESCO at the bureau level. The Academy interpreted OPM's framework and regulations, and provided the agencies with policy guidance in setting up the programs. In giving guidance, the Academy placed minimal requirements on the bureaus in operating the programs. Moreover, the Academy monitored the programs and provided the agencies with

technical assistance, and coordination. Each agency had sole responsibility for implementing its program, the specifics of which may vary from one bureau to the other. However, in implementing the program, each bureau had its training unit responsible for managing the programs in detail, including handling application packages, selecting the qualified candidates, and evaluating the candidates' progress in the programs. The only part of the implementation of the programs in which the Academy was involved was to organize an orientation and assessment center workshop for all participants prior to pursuing their developmental activities identified in the Individual Development Plans (IDPs).

The Department of Transportation (DOT), the Department of Veterans Affairs (VA), and the Small Business Administration (SBA)

Based on the information provided during the interviews, the HRD systems of the DOT, the VA, and the SBA were found to fall in-between the Rudimentary and the Developed Training Department Models described by Van Wart and others (1993). All three agencies had a designated training unit with a single development coordinator responsible for coordinating the program, such as the SBA's Office of Training Services, and the VA's Executive Personnel and Development Staff. The tasks of the coordinators were to help the candidates with their assignments when they encountered any difficulties and to facilitate the candidates in any way that could assist them in completing all program requirements, including making all contacts with other federal agencies for the opportunities to do their developmental assignments and scheduling.

However, Van Wart and others have stated that the agencies' HRD systems would be more similar to the *Developed Training Department Model* considering support from other executive sources. In this respect, the three agencies' HRD systems closely resembled the Developed Training Department Model. From the investigation, the DOT's, the VA's, and the SBA's program coordinators had strong executive support, including staffs and other administrative and technical facilities that could administer the SESCDPs without any difficulties when compared with that of the DOI.

In summary, the HRD systems in the federal government tend to show substantial variation in their complexity. A more complex training unit tends to provide various and better administrative and development functions which may include any other specialized training. On the other hand, a small training unit has a tendency to provide few and poor development functions regarding program coordination and administration due to a lack of sufficient resources and staff supports. The quality of the HRD system would be reflected in the agencies' implementation of their executive development programs, which will be described in the following sections.

PROGRAM MANAGEMENT

Before considering the program implementation of each agency, it is necessary to know how the SESCDP was organized in relation to other executive development program. Since the agencies in this investigation had similar ways of organizing their executive development programs, the following analysis generally explains each agency's program management.

The agency executive development system was composed of three separate but coordinated programs. (1) The first program was for people who were in the SES. All new SES career appointees were required to complete an approved four-to-eight week high-intensity, formal management development course. Each SES member was required to prepare an Individual Development Plan (IDP) which was to be coordinated with his or her performance appraisal. (2) The second program was the SESCDP for Feeder Group I. The program was designed for persons at the GS-15 level who were selected as candidates for SES positions. (3) The candidates had an IDP tailored to their personal needs. The third program, Feeder Group II, was designed for persons at the GS-12 through GS-14 levels. This program was the primary means for identifying and moving women and minorities into the management mainstream. The most successful program for the feeder group II was the SBA's District Director Candidates Development Program (DDCDP).¹

Among the five SESCDPs, the Department of Veterans Affairs' SESCDP was quite distinctive in that it had three separate development tracks. The first track was geared to the development of candidates for executive positions in the Veterans Benefits Administration. The second was for candidates who aimed at specializing in Veterans Health Administration. The third track was for those who

¹District Director Candidate Development Program (DDCDP) is a full-time developmental program, designed to ensure that a highly qualified and well trained group of individuals is available for movement non-competitively (without delays for further recruiting and vacancy announcements) into DD positions established at the GM-15 level. Graduates may also be placed in Deputy District Director or Deputy Regional Administrator positions. Individuals are selected at the GS-13, 14 or 15 level and successful completion of the program provides eligibility for placement in District Director, Deputy District Director, and Deputy Regional Administrator positions at the GM-15 level or which provide promotion potential to GM-15.

aspired to assume executive positions in the National Cemetery System and staff office, such as finance, human resources management, administration, acquisition and facilities, and policy and planning.

SUCCESSION PLANNING

Based on Carnazza's study discussed in chapter II, there are four nominating strategies for matching sufficient managerial talent with anticipated vacancies. Briefly, the *Crown Prince* strategy aims to identify and nurture a single person for each position; the *Slate* strategy aims to prepare a small number of qualified candidates (3-4) available for a vacancy; the *Pool* strategy aims to develop a reservoir of qualified managers capable of performing any number of jobs; and the *Wave* strategy aims to choose a single person from a small reservoir, each of whom has been developed and nurtured over a number of years for any positions. The managers developed according to the Wave strategy are prepared for specific positions just before the vacancy occurs.

From the investigation, succession planning in the federal government is becoming more important even though most agencies admitted that they were not doing any succession planning at present. It was found that the agencies' practices of succession planning implied a combination of the Slate and Pool strategies. The characteristics of the Pool strategy appeared in the main objective of the SESCDP in developing a cadre of candidates available for future vacancies. Succession planning in all five cases was usually done just before the SESCDP was announced. For example, every two years, each federal agency, such as the DOT, the DOI, the VA, and the SBA, assessed the potential impact of retirement on SES

members and the number of unplaced certified graduates of previous programs who were now and would be available for non-competitive SES appointment over the next several years. Based on the results of that assessment and the state of potential recruitment sources, a determination was made as to the need to increase the pool of candidates from which to draw SES replacements.

According to the Department of Labor (DOL) officer, the DOL did not actually do succession planning. Instead it developed a departmental strategic plan to see if there was a "glass ceiling" problem², a problem of having less representation of women and minorities in the SESCO. Each agency in the DOL was required to provide the department with data about the number of employees at each GS level (GS-1 through SES positions). From that data, it appeared that there would be a large exodus of SES members due to the fact that 53 percent would be eligible for retirement. Based on this data, the DOL realized that they needed to develop a pool of SES candidates ready to enter SES positions or that they needed to develop a management program at the lower level (GS-11 and GS-12).

In addition to the Pool strategy, succession planning in the SESCO was like the Slate strategy in the sense that this cadre of the candidates was prepared for specific positions in the federal government, specifically the Senior Executive Service positions. Moreover, it was also characterized as Slate-like because the candidates who graduated from the SESCO were not guaranteed appointment

²Jacquelyn B. Werth (1992). "Shining a Light Through the Glass Ceiling" *The Public Manager*. 24, No. 2, (Summer):41.

into SES positions in the future. After the completion of the program, they were eligible for SES appointment for three years. However, it appears that this limited term of eligibility will be changed to indefinite limitation in the near future. The result of this Slate strategy was a surplus of SESCO graduates who were not placed into SES positions.

In this investigation, it was interesting to find that the major obstacle in succession planning was a lack of a departmentwide computerized personnel data base regardless of the institutionalization of the SESCO. For instance, in the case of the DOI, all projections in the succession planning process had to be done manually, including calculating and updating the list of the individuals, their job series, and a spreadsheet. The list showed the number of SES members in each bureau in each discipline, the number of SES eligible for retirement at the end of the year, next year, and five years from now, and so forth. The DOI program coordinator stated that this process of updating personnel data was very time-consuming and made it extremely difficult to keep the information current. Without the computer support, "number crunching" of all personnel data required more than one person to manually do the job, which could take days rather than an hour or two. To cope with this problem, the department is expecting to have a computerized personnel data base by this year. It is now in the developmental process.

CRITERIA FOR SELECTING THE CANDIDATES

Among the cases in this investigation, the Department of Interior, the Department of Veteran Affairs, and the Small Business Administration utilized

the Office of Personnel Management's six competencies as a guideline in selecting the candidates, while the Department of Labor Academy used OPM's new competency factors as a guideline. The six competency factors are 1) integration of internal and external program-policy issues; 2) organizational representation and liaison; 3) direction and guidance of programs, projects, or policy development; 4) acquisition and administration of financial and material resources; 5) utilization of human resources; and 6) review of implementation and results.³

On the other hand, the Department of Transportation (DOT) designed its own criteria which fold into the OPM six competencies in order to meet the needs of the department. A DOT respondent explained that the DOT's criteria is "based more so on leadership in management as opposed to technical abilities. It's been more emphasis on visionary thinking." The criteria for DOT were as follows:

1. ***Ability to manage an organization strategically*** -- the ability to develop a long-term vision of the future of the organization, to identify goals, policies and priorities that contribute to the accomplishment of the strategic goals of the organization, and to integrate those goals with those of other organizations. Moreover, they must be able to develop plans to accomplish these goals, including the establishment of organizational structures and processes to accomplish the goals. Finally, they must be able to achieve the goals with the use of various management techniques.
2. ***Knowledge of an organization and the environment in which it operates*** -- the ability to keep themselves updated in all aspects of the organization. For instance,

³See detail Appendix C.

they should understand what is happening in their organizations and other organizations with which they interface. This includes the dynamics of the political process and changes in political leadership as well as the changes in the technology and information management.

3. *Ability to manage heavy personal demands* -- the ability to flexibly manage time effectively and to respond to conflicting demands from diverse groups of people involved during stressful periods.

4. *Ability to lead people and manage human resources* -- the ability to manage human resources effectively. For instance, the applicants need to establish, promote, and use human resource activities/programs to ensure that staff members understand how they fit into the organization's mission.

5. *Skill in building and maintaining alliances and relationships* -- the ability to establish and maintain working relationships with a network of key individuals inside and outside the organization and to accomplish the activities, services, and products for which an organization is responsible. In other words, the executives, as coordinators, influence others without losing their future support and resolve conflicts by negotiation.

6. *Skill in communication* -- the ability to conduct, facilitate, and participate in meetings and presentations that involve key officials and high-stake issues. Moreover, they must be able to speak extemporaneously or with minimal preparation, and they must be persuasive and believable.

7. *Ability to acquire and manage financial resources* -- the ability to obtain and manage financial resources, including contractual products/services, in order to accomplish the organizational goals. Their responsibilities include developing and

justifying resource requirements, planning what to procure, and ensuring proper management of budget and contracts.

By comparing the DOT's seven competency criteria with OPM's six competency factors, the DOT appeared to focus more on networking and strategic management. This focus responded to the DOT's management policy which motivated its executives to visualize the agency's goals, structure, and processes for long-term implementation. A DOT respondent stated that "our competencies [are] based more on leadership and strategic planning as opposed to technical abilities. It [has] been more emphasis on visionary thinking. So, our philosophy [is] changing in somewhat in a way our manager can think ... and look into the future."

The above competency factors were used to select highly qualified candidates for the SESCDP through the competitive, merit-based selection process explained in the following section.

SELECTION PROCESS

One of the key elements in the implementation process of the SESCDP is to carefully select the best qualified candidates for further development. Drawing the information from the document and mainly the interview, the selection process of five agencies was performed in the following manner.

Once the SESCDP was approved by OPM, it was announced by the department in OPM's SES Vacancy Announcements publication, which was distributed throughout the federal government, including participating offices and

bureaus. A month after the announcement, the selection process began with the screening process of the application packages by the bureaus/offices. The application packages consisted of a current SF-171 (a standard form for federal employees), an application, and two supervisory appraisals.⁴ The details of each document were as follows:

1. **A current SF-171** (revised June 1988), with original signature. The applicants must describe their work experience in the most recent ten years. In case of applicants having more than ten years of work history, they must concisely summarize it.
2. **Executive achievement questionnaire**. In most cases, the applicants explained their achievement for all six or seven achievement factors. The description of each factor was not to exceed a single page. The guideline for preparing the questionnaire is in Appendix D. Unlike other agencies, the DOI designed its twelve questions from six competent factors. The applicants answered each question in one paragraph, explaining their background and work experience, and any personal work activities. From the interview, they found that the application was so lengthy and duplicative that a number of questions could be handled together. The questions were later shortened to six.
3. **Senior executive service candidate development program appraisal**. In addition to their own description of their executive achievement, applicants had to ask their first SES manager or military equivalent in their chain of command to complete the Executive Achievement Factors. They also provided their

⁴Based on Personnel Management Bulletin (PMB) No. 92-118, dated November 30, 1992, and PMB No. 92-108, dated August 28, 1992.

manager with a copy of their application package at the time they requested that the manager complete the form.

4. ***Performance Appraisal.*** The last package contained their most recent performance appraisal rating summary sheet, including the rating and officials' signature. The supervisor's role was to rate the candidate's performance or to give ranking from 1 to 5 on each of these factors, together with the reasons for the rating--5 is the highest and 1 is the lowest. If more than one candidate was nominated from one office or bureau, the supervisor had to rank them.

Once the qualified candidates were identified through a major background screening process, the next common practice was an interview conducted by SES panels and/ or the assessment center workshop. Some agencies implemented both the interview and the assessment center workshop, such as the DOT, while others chose to perform one. The following analysis explains the selection process of each department in detail, based on the latest practice of 1992/1993 program implementation. The discussion begins with the DOT, and continues with the DOI, the DOL, the VA, and the SBA.

I. The Department of Transportation (DOT)

Once the application packages were screened in the initial stage, the Department of Transportation (DOT) had the CDP staff prepare the application packages for the executive panels to review. At this stage, the SES application panel members were selected and trained before screening and rating the applicants. Ten panels, composed of three trained SES raters each, were convened to evaluate application packages using a crediting plan--a rating from 1 (marginal)

to 5 (outstanding). The staff also reviewed each applicant's executive-related achievements.

They focused on the seven executive selection factors listed in the initial program announcement. At the completion of this step, the applicant group was reduced from 546 to 266, including 31 minorities and 46 women. The group included 20 non-DOT employees.

The next step involved a review by Departmental Secretarial Officers (SOs) and Heads of Operating Administrations (HOAs). Each SO and HOA was given a list of his or her organization's "highest" scoring applicants as a result of the application screening phase. The applicants were categorized into an "A" group (top-ranked) and a "B" group (well-qualified). It was determined that those applicants listed in the "A" group were referred for further consideration; however, the SOs and the HOAs were asked to determine which applicants in the "B" group had the strongest executive potential and should be considered further in the CDP selection process. As a result of this screening step, a list of applicants was referred to the Department's Review and Referral Committee (R&R Committee). The R&R Committee included the Deputy Assistant Secretary for Administration, the Director of the Departmental Office of Civil Rights, the Associate Administrator for Administration for the Federal Highway Administration, the Director of Personnel for the Federal Aviation Administration and the Director of Personnel from the Office of the Secretary. This committee reached a final decision by taking a corporate look at the application panel results and SOs and HOAs endorsements, and factoring in organizational needs. One hundred and

twenty-seven applicants were referred to the third step in the selection process, the interview phase. Included in this applicant pool of 127 were 14 minorities and 30 women.

At this point, an interview was conducted by the SES panel. The number of panels would depend on the number of applications. In the past, 13 panels composed of three trained SES interviewers each conducted a structured interview and evaluated applicant performance using a five-point rating guide. During the interview, the applicants were asked to respond extemporaneously to situations that might be encountered in their role as a member of the SES. At the completion of this step, the R&R Committee was convened again to determine a list of finalists.

Next, based on applicant interview scores, the applicant group was reduced from 127 to 110. The applicant group (110) included 13 minorities and 30 women. The R&R Committee approved a referral selection certificate that was distributed to SOs and HOAs. The Selection Certificate had applicants categorized into the previously mentioned two groups: "Group A" represented those applicants having above average executive potential; "Group B" represented those applicants having average potential. The SOs and HOAs were told to select applicants to go on to the final step in the selection process, the Assessment Center Phase. Sixty-one applicants were selected to go through the assessment center. Of the 61 referred applicants, seven were minority, and 17 were women.

The assessment center was designed to serve two purposes. First, it identified the strengths and developmental needs of applicants on the basis of performance in a live simulation of a public sector executive's job. Second, it served as the final screen in the selection process. SES assessors were teamed with psychologists to evaluate the applicants. The results of this process were considered in determining the final candidate selections.

As a result of the assessment center, 60 out of 61 proposed candidates were forwarded to the ERRC for approval (one applicant was selected into the SES through the merit promotion process). This list of 60 proposed candidates was 12 percent minorities and 28 percent women.

Through this intensive and multi-faceted selection process, the DOT expects to locate a group of high-level managers and specialists who have the capabilities for developing and performing effectively in more responsible positions at the SES level. The selection process can be summarized simply as follows:

The candidates are selected through what we call a merit staff and selection process. They have to submit, in writing, their responses to the seven basic questions of the competencies. They got to let us know how their experience meets those competencies. Those are pieces that the applications are reviewed by the senior executive panels.

In summary, the DOT selection process is quite lengthy and complicated. The applicants had to go through various phases of screening processes, some of which may not be necessary during the selection process, such as the assessment

center. As previously described, the DOT employed both the interview and the assessment center in this process, while later in this chapter it will show that other agencies in this investigation used only the interview in selecting the candidates. Deleting the assessment center workshop from the selection process and using it later in the developmental process may help the department save time and money by not conducting the assessment workshop with those who may not be qualified to participate in the program.

II. The Department Of Interior (DOI)

In comparison to the DOT selection process, the Department of Interior (DOI) used a simpler process of selecting the best applicants. This involved the application screening process and the interview to determine the final selection of candidates.

In the case of the Department of Interior (DOI), the bureaus or offices and assistant secretaries ranked the nominees in the screening process. The highly qualified nominees were then referred to the Department for consideration. Those nominations were accompanied by a brief biographical summary (see Appendix E). All ranked nominations, with complete application packages, were to be submitted a month later through the appropriate Assistant Secretary to the Office of Personnel, Division of Development and Training Management.

After receiving the application packages, the Department began its review and interview process. In the departmental review process, each candidate's or nominee's materials, prepared by the bureaus/offices, were reviewed individually.

Then, each nominee was invited to participate in an assessment process, which was conducted in Washington, D.C. Two or three people on the assessment panel were career-level SES employed in the department. It is important to note that DOI does not have an assessment center. The assessment panel in this aspect is equivalent to the interview panel. However, DOI calls this process an assessment rather than an interview.

In the interview process, participants were given a case study to present to the interviewers, telling them what they would do in that particular situation. Then, candidates were asked a number of questions concerning why they wanted to get into the SES and would they be willing to travel. Each was given about half an hour to review the document and another half an hour for the interview.

The assessment panel, then, ranked the candidates' performances. The results of the interview and the assessment of the nominees (together with the recommendations from bureaus and offices and from Assistant Secretaries) were then submitted to the ERB for final selection. The developmental process of the SESCO began after the ERB selected and notified the selectees. For example, approximately twenty-five candidates were expected to be selected to participate in the seventh SESCO, scheduled for January 1993. Due to present political circumstances, this program has been postponed.

III. The Department of Labor (DOL)

Like most federal agencies, the selection process at the Department of Labor (DOL) began with the screening and rating of all applicants based on the

application packages of SF-171, their backgrounds, skills and experience sheets, and their supervisors' evaluations of their performance. However, the DOL's SESCDP selection process has been decentralized since the program was operated government-wide for the first time in 1992. Each agency was delegated the authority to recruit the candidates through the use of merit staffing plan. In order to do so, each agency had its selecting officials, including the Assistant Secretary and the heads of the agency at the Secretarial level.

Once the applications were reviewed, the qualified applicants were asked to submit supplemental qualifications questionnaires which were rated by ERB members in five rating teams of two each. With the use of a rating form (Appendix F), the rating teams reported their recommendations for further consideration in meeting of full ERB. The ERB then discussed the recommendations and reached consensus on the number of applicants for further consideration. For instance, thirty-four applicants were reported for further consideration in the Office of Employment Training and Administration (ETA) in the 1992/1993 program.

After the screening and rating process, a list of names, the top twenty-five applicants, was sent to the agency Assistant Secretary who reviewed and made the final selection of the candidates. In this selection process, some agencies had an interview while some did not because it was not mandated by the DOL Academy. The interview, if done, could be conducted via either telephone or in person.

IV. The Department of Veterans Affairs (VA)

The selection process at the Veterans Affairs (VA) was a simple but competitive one. The applicants had to go through three stages of application rating and assessment process. The VA did not require that all qualified applicants be interviewed.

The first stage of the selection process involved the screening of the applicants' backgrounds for basic eligibility by the Executive Personnel and Development Staff. In the second phase, the applicants' qualifications were evaluated by a panel of Senior Executives familiar with target positions. The applicants whose backgrounds demonstrated a high degree of executive potential were then selected to participate in structured interviews or assessments. Those who were most successful in the structured interviews were listed on the selection register from which the Secretary would make final selections for the CDP.

At the VA, the assessment involved the use of standardized job-related situation questions. In the process, the applicants were asked to respond to four situations and nine related questions developed by a collaborative effort of VA Senior Executives, personnel specialists, and a personnel psychologist to measure the applicants' abilities in the OPM six qualification factors.

The questions asked dealt with hypothetical situations that senior executives could encounter on the job, including an in-basket exercise and a series of role-playing exercises. The applicants were given 30 minutes to review the situations and to draft related preliminary questions and formulate answers. At this point, they were permitted to take notes. Later, a panel of three or four Senior

Executives conducted an interview and observed their performances. During the interview, one panel member stated the five preliminary and four follow-up questions for each question. Following the 45 minute interview, each panel member evaluated the applicants' performance by assigning a rating of 5 (outstanding) to 1 (marginal) to each competent factor. Then, the applicants' total scores were ranked by the technical advisor. As I was told, the technical advisor was a senior staffing specialist who advised the rating panel on merit procedures. She also consolidated scores, prepared rank order listing of the applicants, and helped the panel to reach consensus on the total scores of the applicants who should constitute the best qualified. Finally, the panel members met to discuss these rankings and to identify the best qualified applicants who then were referred to the Secretary for final selection.

V. The Small Business Administration (SBA)

Like other agencies, the Small Business Administration's (SBA) applicants' qualifications and eligibility were initially determined by the Office of Personnel. The eligible applicants' backgrounds and experience were then reviewed and rated by the Executive Resources Board (ERB) in association with the OPM six competencies. At this point, a board comprised of eight senior executives considered the applicants' managerial capabilities, training and developmental experience, relevant awards, and annual performance appraisals. After reviewing their potential, the board rated and ranked to the applicants. Then, the board determined a cutoff point and certified as best qualified those applicants with total scores at or above the cutoff. The best qualified were referred for interviews.

Finally, the board recommended a list of highly qualified applicants to the Administrators who made final selections for the program.

DEVELOPMENTAL PROCESS

The developmental process began as soon as the candidates were initially identified. From the investigation, I found that the developmental process varied in details across all cases. However, the process usually was comprised of an orientation to introduce the candidates to the program, the agencies' policies, and other current management philosophies; formal classroom training; and developmental assignments. Prior to the discussion of each agency's development process in detail, it is important to mention the development of the Individual Development Plan (IDP). The IDP was found to be an integral part of every developmental process in the SESCO DP.

Individual Development Plan (IDP)

The IDP serves as the "blueprint" for each candidate's executive development program. An example of IDP format is provided in Appendix G. To develop the IDP, candidates defined specific career and developmental objectives and planned activities (including developmental work assignments) to meet those objectives. The Management Executive Inventory (MEI) results provided valuable information about the competencies and effectiveness upon which the IDP should focus. The candidates drafted their own IDPs, with the mentor and supervisor serving as primary sources of advice. Both the Departmental and bureau/office SESCO DP coordinators worked closely with the candidates in the preparation of the IDP, identifying and scheduling specific formal training as needed. The Executive

Resources Board gave final approval of the IDP and certified its completeness at the conclusion of the program. The following sections discuss the detailed findings of each agency's developmental process.

I. The Department of Transportation (DOT)

Shortly after the candidates were selected, the DOT held an orientation in the Washington, D.C. area. On the first day of the orientation, the candidates were provided with information about the department, current issues, and the current executive learning strategies and philosophies. On the second day, each participant was assigned a trained senior adviser (who was a high-level official and a member of SES or equivalent) and their supervisor. The senior adviser and the supervisor assisted the candidate in all aspects of the program, including clarifying developmental objectives and identifying developmental assignments and activities.

In the next step, each candidate was required to develop an IDP in consultation with his or her immediate supervisor and the senior adviser. The IDP may be updated or revised as necessary during the program. The preparation of the IDP was an important step for each participant, since it indicated the strengths and weaknesses (developmental needs) of the candidates in terms of the managerial skills, knowledge, and abilities required for SES positions. In addition, it also identified their developmental needs for the program, what kind of activities were needed, when they were to be accomplished, and estimated costs such as travel expenses and tuition for formal training courses offered by the universities. After the IDP was approved by the department Executive Resources Review

Committee (ERRC), the candidates were required to complete all the activities in their IDPs. Typically, the components of the developmental process included on-the-job developmental assignments and formal classroom training. When completed, the IDP was evaluated and approved by the departmental ERRC in relation to the departmental needs identified during the succession planning process.

On-the-job developmental assignments or rotational assignment

The candidates were encouraged to engage in two or three rotational assignments, each of which generally took 90 to 120 days, depending on the individuals' needs. At least one developmental assignment was required for a minimum of three months and must occur in a different functional area from the candidate's own organization. Each developmental assignment was developed by the candidates, their senior advisor, and their supervisors with respect to the individuals' needs identified in their IDPs--- and in the positions they were likely to assume in the SES. Some of the assignments may require the candidates to be away from their regular work until the assignments are completed. If this was the case, they were required to participate in the developmental process full-time; otherwise, the developmental process was assigned to them on a part-time basis, and they continued to perform their regular duties when not participating in the program activities of the developmental process.

Formal classroom training

Besides on-the-job development, the candidates had to learn more about management theory and practice via formal classroom training. The need for formal training courses, again, depended on the individuals' needs as identified in their IDPs. However, the OPM required that they go to at least one OPM-approved course, either an internal or external seminar program, during their development process. Most of the approved classes were offered at various institutes, such as the Federal Executive Institute, OPM's Management Development Center, Harvard University, Carnegie-Mellon University, and the Brookings Institute. In addition, the department also provided common needs training which included a diversity program, a public policy program, and a leadership program--formalized departmentwide programs in management.

II. The Department of Interior (DOI)

In designing the SESCO curriculum for the current class, the department relied on the Management Executive Framework (MEF). To review, the MEF is a model that describes the competency needs required for different level of management in order to perform their jobs effectively. To meet the specific needs of the current group of participants, it fine-tuned the curriculum. This has been done with a diagnostic tool, the Management Excellence Inventory (MEI), which pinpoints group and individual needs. Based on the MEF and results of the individual needs assessment, DOI constructed a four-part, OPM-approved curriculum: a brief Orientation; three core departmentally developed seminars; at least one Developmental Assignment; and attendance at an OPM-approved, interagency executive-level training course.

Orientation

The orientation for the latest program, SÉSCDP #6, Section I, was held in conjunction with the SES Conference in Ocean City, Maryland, in November 1990. For section II of the SÉSCDP #6, the candidates were chosen before July 1991 and had their orientation one month after their selection. The orientation emphasized the administration of the MEI so that the participants could use the results in constructing their Individual Development Plans. To note, program #7 which was planned to begin the selection process in November 1992 was temporarily canceled due to unrevealed political reason.

Departmentally developed seminars

Each candidate was required to attend the three one-week developmental seminars administered by the Department. The seminars were designed to touch upon all of the most critical executive competencies, thus addressing each of the Executive Activity Areas required for SES certification. The department offered a seminar that focused on three core areas: 1) *Executive Leadership Skills*, addressing competencies related to working with and through people; 2) *Strategic Management Practices*, focusing on competencies related to the structures, activities, and procedures through which work is accomplished in the Department; and 3) *The Environment of Executive Decision-Making*, addressing those competencies related to the interaction among bureaus, the Department and the broader arena in which the department operated. DOI put together these courses by hiring training experts as private contractors.

In the past, all three areas were offered within a week. Later, the DOI found that a one-week seminar was not an effective educational approach and that there was much more information that was needed to be addressed in terms of executives' skills as applied to the DOI. At present, the seminar has been expanded from a single one-week seminar to three one-week seminars. For instance, the *Career Development/Executive Leadership Seminar* for the SESCDP #6, section I was operated for six days in Hampton, Virginia. It was scheduled for the week of September 16, 1991. The specific dates for the second and third seminars were later determined by the participants while in Hampton.

The first afternoon of the Executive Leadership seminar was an introduction by the SESCDP manager and a seminar facilitator. Part of the discussion was to select the advisor and mentor. Each candidate was encouraged to have one selected prior to the first meeting in February. In practice, most participants already had selected mentors before the conference. Given an opportunity to select their own mentors, the candidates often selected those who had been in the service for a long time and were highly respected in the bureau so that they could be very helpful in making contacts for the rotational assignments. In cases where the candidates could not find their own mentors, the program manager had a list of the volunteer mentors provided to candidates in February 1991.

On the second day, the candidates had to do a Myers-Briggs Type Indicator (MBTI) test. The results of the MBTI test were later used in career development and in development of the IDP. The next day, the candidates were introduced to

various kinds of leadership, especially situational leadership. In the afternoon of the same day, the Management Executive Inventory (MEI) was introduced to the participants. MEI was used as a tool to identify the participants' needs, their strengths and weaknesses for each competency required by OPM. Then, the manager of the program consulted with them, concerning their needs assessment and the development of the IDP based on the results of the competency-based assessment. The fourth day of the seminar covered the discussion of the interpersonal effectiveness, diversity as part of the executive's role, the history of Hampton University where the seminar was held, and leadership by Dean of the School of Business, Hampton University.

The last two days of the seminar were designed to prepare the candidates to complete the IDP in consultation with the executive advisors and to plan their program activities. On the fifth day, the candidates were exposed to the topic of team building to enable them to work in groups. In the late afternoon of the same day, the manager and the seminar facilitator met with the candidates again to provide them with advice on MEI and IDP development after they had been introduced to the subjects a couple of days earlier. At this point, the candidates were quite familiar with the idea of the IDP and were able to prepare one.

The final day was devoted to discussing mentoring by the program manager, including the roles of mentor or senior advisor and the potential problems that might arise from the relationship between mentor and the candidates. Finally, the seminar was wrapped up with visioning and the evaluation

of the program.⁵ It was expected that at the end of the seminar, the candidates would be able to 1) develop an understanding of the role of the senior federal executive that encompasses present and ongoing expansion of competencies; 2) expand critical Executive Leadership competencies; 3) draft an IDP tailored to the next step in career development; and 4) develop a vision for continuing, long-term executive career development extending beyond this IDP.

Of additional value to the participants was the opportunity to establish a critical network structure with other program candidates. This opportunity is promoted by holding the first two seminars at residential sites and by introducing leadership and team-building early in the program.

Developmental Assignments

One or more Developmental Assignments were required to allow the candidates to get hands-on experience with lessons learned in the classroom. In addition, participants were expected to gain a greater understanding of the way in which the Department functions and how bureaus can work more effectively together. They also gained exposure among, and were observed by, the Department's top decision-makers.

Each candidate was required to have a minimum of six weeks of developmental work assignments. At least one assignment had to be outside the candidate's home bureau/office (preferably outside the parent assistant

⁵The detailed example of the materials used during the *Career Development/Executive Leadership Seminar* is available upon request.

secretaryship) for a minimum of four weeks. The assignments were chosen to prepare the candidates for the nature and scope of positions they would be likely to assume, giving them broadened perspectives and helping develop and refine their managerial skills. The kinds of assignments and developmental activities were determined by the candidates, their immediate supervisors, the bureau/office SESCDP coordinator, and the mentors, and were documented in the IDP. Because the rotational assignments were designed based on the individual needs, some may have to do more assignments than others. Those who had deficiencies in many areas of competency may have needed to take many more developmental assignments than others in order to broaden their skills in all six competency areas required by OPM. Some worked on the same assignments but in different bureaus with different issues to strengthen their skills and experience in that particular area. Hence, the training and developmental activities customarily were designed to train and develop the candidates' deficiencies.

Interagency, executive-level training

The requirement for interagency, executive-level training has been mandated by OPM (FPM Letter 412.4). The interagency training gave candidates the opportunity to acquire "capstone" experience derived from contact with participants from other departments and the private sector. There are nine programs from which the candidates could choose, allowing the candidates to select those which emphasized certain skills over others. To complement these programs, the Departmental Learning Centers and local and regional OPM Training Centers were available to provide in-depth skill training of a more specialized nature. However, some candidates commented that the outside-

department, developmental assignments had not been emphasized. They found this to be so important in that it assisted them in understanding thoroughly other offices and their perspectives beyond their own offices and bureaus.

III. The Department of Labor (DOL)

There were three major components in the Department of Labor's developmental process: orientation; a formal OPM-approved course; and rotational assignment. Orientation was the first developmental activity in which the candidates were required to participate. In this first government-wide program, the orientation was held during the week of January 25-29, 1993. On the first day, the candidates were introduced to the nature and scope of the SESCO and the DOL Strategic Plan for Employee Development. On the next three days, the DOL Academy held an assessment center workshop in order to allow the candidates to do a series of exercises and were videotaped in small groups. In this process, the candidates were broken into small groups and worked on a number of executive-level problems in various situations. Their responses to these problems were then critiqued and questioned by their colleagues who provided them with feedback. The results of this workshop, indicating each candidate's strengths and weaknesses in each OPM competency factor, were used by the candidates to develop their IDPs at the end of the week. The IDP included certain training courses, usually OPM-approved courses, and individual developmental assignments.

As required by OPM, the candidates took at least one OPM-approved course selected from the list provided by OPM. Most of the candidates took the

courses at George Washington University, called the *Contemporary Executive Development Program*. Some candidates took alternative programs such as the two-week Washington Executive Seminar. At the time of this investigation, some candidates were still taking the classroom training while most candidates had just completed the coursework and started working on their first rotational assignment.

Regarding the developmental assignment, the candidates selected two or three rotational assignments. Each assignment took about two-and-a-half months to complete. It was required that one had to be outside the candidates' own agencies in order to increase their experience and skills, and to broaden their perspectives. Through the course of the program, each candidate had two mentors who assisted them in their rotational assignment as well evaluated their progress in the program.

IV. The Department of Veterans Affairs (VA)

Like most CDPs, the VA's CDP is a part-time development program. In this case, the CDP has three major components: 1) the National Cemetery System and staff-type positions, e.g., personnel and financial administration, 2) the Veteran Health Administration, designed to prepare the executive for dealing with the administration of health area, and 3) the Veteran Benefits Administration. Each area required specialized training and development. Thus, the candidates had to identify themselves with one of the above areas prior to proceeding to the next developmental program activities.

In addition to their specialized training and development, all candidates were required to complete a core or formal training and developmental activities, as well as elective activities, designed to develop and/or refine skills and proficiency in the six executive competency areas. Shortly after the selection process concluded, all candidates were required to attend a two-and-a-half day orientation.

Orientation

At the orientation, the candidates were given an opportunity to select a mentor or senior advisor who was a senior executive official in the VA. If one could not select a mentor, a list of volunteer senior executives was available. In addition, part of the orientation was taking some standardized psychological tests, such as the Myer-Briggs Test. These tests helped identify the strengths or the areas that the candidates needed to strengthen. The candidates, then, used the results of the tests, together with the background sheets to plan their development plans in consultation with the mentors. During this process, the VA emphasized the importance of making the candidates' immediate supervisors be aware of the program and be supportive of it. Therefore, the participants were always supported by their mentors and supervisors. The developmental activities began right after the orientation and were composed of mandatory executive development training operated by the VA, formal training, and shadow assignments.

Leadership VA

In addition to the OPM-approved course, the VA also required all candidates to take a program called *Leadership VA*, which was operated by the

department. The program was designed to allow the candidates to engage in long-term development outside the organization in order to enhance their depth and knowledge. Moreover, it was intended to help them improve their technical competency. During four or five weeks in this program, the candidates visited different cities, so as to learn leadership techniques and activities in different scenarios.

Shadow Assignments

Shadow assignments were a kind of developmental activity that allowed the candidates to choose in order to fulfill their individual developmental needs. The purpose of the shadow assignments was to expose the candidates to somebody as their "shadow." A shadowing assignment is to observe closely a designated person who is believed to know best in that particular area for a certain period of time. The candidates could choose to shadow the executives in three areas: Hospital Administration, Health Administration, and staff offices. The executives selected to be shadows, from either inside or outside the agency, were well respected and willing to share thought processes and strategies. In the shadowing process, the participants spend a period of time with their shadows, going to the meetings (unless the meeting was confidential) and replicating most duties. The length of each shadow assignment varied from one week to two weeks.

V. The Small Business Administration (SBA)

The developmental process of the SESCDP at the SBA was a simple, but challenging, one. Since there was no real orientation to the program, the candidates began their developmental activities right after they completed

developing their IDP which was approved by the ERB. Before the developmental process started, each candidate was required to prepare the IDP in consultation with the first-level supervisor, the senior advisor, and the executive development coordinator. Due to frequent evaluation, every six months, the IDP was often updated or revised as needed during the developmental process. In the IDP, the developmental activities were composed basically of one OPM-approved course and developmental assignments like most federal agencies. In the interviews, most candidates chose to participate in the Federal Executive Institute's Leadership Program in Charlottesville, Virginia.

For the developmental assignment, the SBA had a strong belief that most candidates had significant amounts of formal training. Therefore, informal developmental activities were heavily emphasized throughout the course of the program. The rotational assignment included being assigned to the Acting Deputy position and having full responsibility for that particular position for four months. In other cases, the candidates were assigned to Acting Regional Administration positions, which would challenge them to learn and gain more experience. Overall, the developmental process at the SBA was a high-level executive function which gave them opportunities to have in-depth small group meetings with officials within and outside the SBA to further develop their skills and perspectives.

THE USE OF EVALUATION

Theoretically, the candidates were evaluated periodically, once every quarter to see to it that they had achieved the learning objectives. In practice, the

evaluation of the candidates' performance and progress in the program was conducted differently ranging from once a month to once a quarter or occasionally. But certainly, every time the candidates went on developmental assignments, they were evaluated by their developmental assignment supervisors, except in the VA, where they were not evaluated quite as often. According to the interviews, most of the evaluations at the VA were done before the candidates got into the program through the assessment center.

It is interesting to find that the evaluation of the candidates' performance was not taken seriously, except the SBA. The kind of evaluation implemented by the DOT, the DOI, and the VA was not to assess the candidates' performance. Rather, the evaluation during the developmental process was to insure that the participants completed the activities identified in the IDP. As one respondent stated, "there was no evaluation of how well each person met each one of the competency factors. In the case of the DOL, it is too early to judge the effectiveness of the evaluation process because the candidates are now undergoing their first rotational assignment in the first government-wide SESCDP.

On the contrary, the SBA took the evaluations very seriously. The SBA evaluated the candidates' performance quite often. Every six months, the candidates were evaluated by the ERB in an interview process to see if they were doing what they were supposed to be doing. After the interview, the board determined if the candidates could continue the developmental activities or be removed from the program. Those who did not appear to be progressing

satisfactorily while in the program could be reviewed anytime by the ERB and might be removed.

However, the candidates from all five SESCDPs agreed that they were evaluated at the completion of all program requirements. This evaluation was sent to the department ERB for review prior to transmittal to OPM for official certification.

ANALYSIS OF THE EXECUTIVE DEVELOPMENTAL APPROACH

Early in this investigation, a number of executive development approaches were presented in chapter II, including the contingency approach, the self-development approach, action learning, the joint-development activities, and the androgogical approach. In this section, these approaches will be utilized to examine and explain the practices of the five federal departments in this study. By applying the contemporary approaches to the above executive development processes of the federal agencies in this investigation, I found that the agencies used some combination of self-development and action learning approaches in their implementation of the SESCDP.

Self-development approach

As discussed in chapter II, the concept of self-development reflects a belief that one can and should be self-directing and self-actualizing by being proactive and allowing oneself to release creative energy. In the executive development program, an effective development program must increase the executives' capacity and willingness to take control over and to be responsible for events, particularly

for themselves and their own learning. In the same manner, a key to the executive development process in the SESCDP was to identify the candidates' strengths and weaknesses in different competency areas and to develop the Individual Developmental Plan (IDP) that strengthened their knowledge and skills in all competency areas required for the SES positions.

From the interviews with SESCDP graduates, the IDP was individually designed by each candidate with the assistance and consultation of their preceptors or mentors. This implied that one candidate's IDP could not be comparable to any other candidate's IDP because each had different managerial strengths and weaknesses. In addition, the IDP which served as a blueprint for the individual candidate was so flexible that it could be changed at any point during the developmental process in order to make the IDP best fit the individual's needs.

Action Learning Approach

The developmental process in five federal agencies was also found to have somewhat the same characteristics described in the action learning approach. By definition, the action learning approach emphasized the kind of learning that the executives learned by acting in workplace situations rather than in a classroom. In this respect, the federal agencies in the investigation required that the candidates did at least one rotational assignment or shadow assignment, of three to four months duration. These assignments allowed them to apply what they had learned from formal classroom training to "real life" organizational situations that they expected to face when promoted to SES positions. For instance, most candidates were assigned acting status positions at the executive level and were held

responsible for various executive functions, e.g., running the projects, making administrative and policy decisions, and negotiating contracts. In addition, on-the-job development also exposed them to other parts of the organization and gave them experience and skills that they never had before.

Another aspect of action learning that can be drawn from the SESCO DP developmental process is the essence of group learning. The developmental process of the SESCO DP encouraged the individual candidates not only to become "self-actualized"⁶ but also to allow them to learn from and about themselves through interaction with peers. In the developmental process, group dynamics was essential for success in, for example, the assessment center testing, the development of the IDP, the rotational assignment, and the evaluation of their progress in the program. For example, the IDP could not be developed without the help of the program coordinators, the mentors, and outside federal agencies who made all the contacts and arrangements with other agencies so that the candidates could do their rotational assignments outside their own agencies. These group dynamics enabled the candidates to understand other federal agencies' functions and to broaden their perspectives as well as to have networking relationship with outsiders.

⁶The term "self-actualization" was introduced by Abraham Maslow (1943) in *A Theory of Human Motivation*. Self-actualization is the highest level of five basic needs. It refers to the need or desire to achieve one's potential or for self-fulfillment. According to the "hierarchy of needs," self-actualization becomes a motivator only when the first four levels of human basic needs, such as physiological, safety, love, and esteem, have been satisfied. See Abraham Maslow (1943). "A Theory of Human Motivation," *Psychological Review* Vol. 50 (July): 370-396.

Although the SESCDP appeared to possess various characteristics of action learning, there is one aspect of action learning that cannot be applied to these federal agencies--the emphasis on long-term development. This is a major flaw of the SESCDP that provided the candidates with a kind-of developmental activity at a particular point in time within a short period, rather than long-term development that could assist them in planning for their executive career. The problem lay in the design of the SESCDP that required the candidates to have only the IDP for the SESCDP, not a complete, long-range career plan.

SUMMARY AND CONCLUSION

The SESCDP was one of the other means by which the candidates were recruited, selected, developed, and evaluated, and given demanding assignments with leadership opportunities. They received individual coaching and worked with managers who had established credentials of substantial accomplishment. They were exposed to various developmental activities (both formal classroom training and on-the-job assignment) that identified as equivalent the SES job. Regardless of occasional evaluation of the candidates' performance during the developmental process, they were evaluated at their completion of the program requirements. Through vigorous development processes for 18-24 months, the candidates learned to work with others in groups and were able to achieve their individual needs by completing the SESCDP, leading to possible future promotion to the SES positions.

Taken together, the information gathered from five agencies showed the agencies to have autonomy to design and implement the SESCDPs as they thought

it would meet their organization needs. For instance, the Department of Transportation designed its own seven competency factors, and each agency may or may not require the applicants to go through the assessment center workshop during the selection process.

Another related observation is the involvement of the Office of Personnel Management (OPM) during the implementation process of the SESCO. The investigation showed no sign of the OPM's role in the implementation process. This lack of active leadership in the implementation process made it difficult for OPM to see how each agency carried the policy and guideline into practice. As a result, the program implementation may deviate from what was intended by law and regulations.

The only strength of the program that all respondents seem to have was the development of the Individual Development Plan (IDP). All participants agreed that the IDP assisted them to understand their strengths and weaknesses in various competency factors as well as to identify their developmental needs required to complete the program. Moreover, the developmental assignments also exposed them to more challenging activities and helped them in establishing network relationship with other candidates.

There were a number of weaknesses found in this investigation. The most obvious weakness of the SESCO was in its establishment of the program in relation to other executive development programs, which was found to have systematic linkage. The second issue concerned the continuing development of the

SESCDP graduates in their executive careers, "second professions." The third issue dealt with the lack of strategic succession planning in executive replacement. Finally, in response to recent developments in the political sphere, the impacts of the change in the new administration on the implementation of the program should also be considered closely. These issues will be considered further in the next chapter.

CHAPTER VI

EMERGING ISSUES/ PATTERNS

A major purpose of this study is to identify the patterns or emerging issues as derived from the investigation of five federal agencies' Senior Executive Service Candidates Development Programs (SESCDPs). Through a thorough examination of written documents and in-depth interviews with agency officials, experts, policy-makers, and participants, four emerging issues were identified and analyzed: systematic development, strategic succession planning, individual and organizational needs, and effects of the new administration. This chapter examines the patterns emerging from the investigation of the SESCDPs of five federal executive agencies.

SYSTEMATIC EXECUTIVE DEVELOPMENT

The study of the Senior Executive Service Candidate Development Program (SESCDP) cannot be understood completely without comprehending the whole of federal executive development policy. This section looks at the macro picture of executive development policy, examining the SESCDPs in relation to other executive development programs specified by the law and Office of Personnel Management's Federal Personnel Manual (FPM). In doing so, the findings of the investigation indicate that the federal executive development programs are still far from what was originally envisioned by the law and regulations.

Concept of system

It is stated in the Operations Handbook for the Senior Executive Service that the executive development policy is a "systematic process" intended to provide a pool of highly qualified candidates for SES and to improve individual executive performance and the productivity of federal organizations.¹

Behind this policy is the concept of *system*, the key to successful development of the candidates. By definition, a system is composed of an aggregation of related components (subunits or subsystems), such as production subsystems, supportive subsystems, maintenance subsystems, adaptive subsystems, and managerial subsystems, each of which performs different functions. These subunits are interrelated and interdependent. The success or failure of one system affects other related subsystems and in turn contributes to the system as a whole. For the purpose of this analysis, the system in this sense is considered "open," meaning that it has to acquire inputs from its external environment and produce outputs in order to maintain its operation.

Executive development program in "blueprint"

Applying the above characteristics of the system to the federal executive development system, the system should consist of different subunits or series of executive development programs at different GS/GM levels. In addition, these programs cannot successfully function without having impacts on each other. In this manner, the executive development program, as written in the OPM's Federal Personnel Manual (FPM), appears to be theoretically systematic. As indicated,

¹*Federal Personnel Manual*, Supplement 920-1, October 31, 1989, p. 7.3.

there are interrelated levels of executive development, namely supervisors, managers, and executives. While the supervisor level is for federal officials at GS 11-12, the development at the manager level is for those at GS/GM 13-14. Finally, the qualified officials at GS/GM 14-15 are trained and developed at the executive level.

The three levels of development are not only interrelated but also interdependent. Federal officials at GS 11 or 12 can improve their skills, knowledge, and competencies at the supervisor level and naturally progress to the manager level and likewise to the highest level of their development, the executive level. The interrelatedness and interdependence of the executive development programs are among the most distinguished virtues of the system concept. However, this virtue of the federal executive development programs appears to be seen only in written documents because the findings of the investigation will reveal different results.

Executive development programs in practice

While the law and regulations require that the agencies provide systematic development programs for all three level of management (supervisors, managers, and executives), many of the agencies have not done so. Each agency investigated offered the executive development programs only at the executive (GS/GM 14-15) and manager (GS/GM 13-14) levels. The most prominent development programs were the Senior Executive Service Incumbents Development Program (offered for the SES incumbents) and the Senior Executive Service Candidates Development Program (SESCDP). The results of the study show that the two programs were

interrelated and interdependent. The candidates who were able to complete the SESCOBP requirements and were promoted to SES positions were able to improve their managerial skills, knowledge, and competencies to their highest potential by participating in the SES incumbent development program. In this respect, the natural progress of the SES candidates at the executive level is ensured. However, their placement eligibility for SES positions was limited to three years, a limitation which every participant agreed should be lifted.

What seems to be missing from the agencies' executive development programs is the development program for those at the manager and supervisor levels. From the data collected, the kind of training and development the agencies offered at the manager level was not organized and implemented in the same manner as the SESCOBP. In all except the Small Business Administration (SBA), the officials at GS/GM 13-14 could participate in training and development at the manager level through formal training programs provided by universities. Again, this kind of training and development activity at the manager level was not as explicit as the SESCOBP.

Unlike the other four agencies under the study, the SBA offered a development program particularly for the federal officials at grade GS/GM 13 -15. The program, called *District Director Candidate Development Program (DDCDP)*, was intended to prepare the individuals to become District Directors. Since the program has been implemented over six classes, the program administrators and the participants responded that they were extremely satisfied with the program. Moreover, the candidates who participated in both the DDCDP

and the SESCDP at the SBA commented that the DDCDP provided them with greater experience than did the SESCDP. One of the respondents explained, the DDCDP was a full-time commitment that required him to be away from his regular job during the course of development and thus away from his family, whereas the SESCDP was a part-time commitment. Therefore, the DDCDP, according to the participants, had many "more personal and family sacrifices."

Despite how successful the DDCDP was, the above comment implied that the DDCDP and the SESCDP were not systematically coordinated in the way they should be. If the two programs were actually interrelated and interdependent, the SESCDP should offer the managers new and higher levels of executive knowledge, competencies, and experience. In other words, the participants or district directors should feel that they gained more experience and were progressing rather than "refining" their competencies. From the system perspective, the DDCDP should not be considered successful unless it was systematically linked with the SESCDP.

While the manager development programs have not been systematically established in all five federal agencies in this study, it was not surprising that the agencies did not offer any development program at the supervisor level. One implication that can be drawn from this situation is that the establishment of the SESCDP and the SES incumbent development program were an urgent development in response to the Civil Service Reform Act 1978's demand for systematic development of "executives" and "managers." As the law and regulations did not specifically state the immediate need for the "supervisor" development program, the agencies did not feel pressure to establish one. In

addition, the agencies have been struggling with the implementation of the SESCOEP over the past decade, and thus, the development programs at the manager and supervisor level have been relegated to secondary status.

Another implication had to do with the lack of sufficient human resources and financial support for the executive development program. The demand for an immediate development of executives urged the agencies to invest and mobilize their manpower to the establishment of the executive development program at the executive level. The findings of the investigation show that this may be the source of the under representation of women and minorities in the SES positions since most women and minorities who are the Feeder Group are at grade GS 11-12. The lack of a training and development program at the supervisor level meant fewer doors were open for them to participate in the executive career program.

Lack of Continuity

In addition to the lack of interrelatedness and interdependence of the agencies executive development programs, the findings also show the programs' *lack of continuity*, which is one virtue of the system concept. For the purpose of the study, the term continuity² is defined as a continuous process by the executive development program of acquiring the candidates, providing them with training and developmental activities in order to allow them to become future leaders, and

²Theoretically, continuity of the process includes acquiring input from the environment, transforming it into desired output via a throughout channel, and redefining goals and objectives of the system through a feedback mode. The output, in turn, provides essential information for the system to control and continue the process over a period of time. See Alan Walter Steiss (1985). *Strategic Management and Organizational Decision Making* Lexington, Mass.: D.C. Heath and Company, pp. 25-41.

redefining goals and objectives of the system through a feedback/ evaluation mode.

Because the federal executive development systems of the five agencies were far from meeting the expectations of the law and regulations in terms of providing three interrelated levels of executive development programs, it is extremely difficult to find continuity in the process of developing federal executives. However, it can be used to analyze the process of the SESCO for the purposes of the study.

By analyzing the agencies' implementation process for SESCOs in continuously recruiting, developing, and evaluating the programs, the findings show no continuity in each of the five agency programs. Ever since the SESCO was initiated over a decade ago, none of five agencies have offered the program continuously. For instance, among the five agencies, the Department of Interior (DOI) had provided the most frequent SESCO. Up to the present, six programs were implemented, two of which had two sessions. The Small Business Administration (SBA) is second in its continuous implementation of the program. Four programs were offered in the past, including programs in 1980, 1986, 1988, and 1992. In the case of the Department of Labor (DOL), it had its first departmentwide developmental program this year. The Department of Transportation (DOT), on the other hand, conducted the first CDP in the early 1980s. Then, the program was not announced for a certain period of time. In 1981 and 1992, the department resumed its departmentwide program. Currently,

the program has been discontinued again in order to evaluate the CDP selection process.

The system can function continuously only when it redefines its goals and objectives. To do so, the system needs more information about how well it functions. The only way the system can acquire such information is through evaluation. Unfortunately, the results of the investigation show that none of the five agencies had ever evaluated its SESCO. As a matter of fact, evaluation of the program had never been an issue until recently when OPM took an active leadership role to examine and review the agency's program. However, OPM could not do any better due to the lack of staff who would help monitor and evaluate the agency programs. The best it could do was to assign its only staff to visit the agencies from time to time. At present, OPM is in the process of developing an evaluation framework so that the agencies can use it as a guide to evaluate their CDPs. It will be interesting to see in the near future how OPM overcomes or deals with this issue. Given the current number of OPM's staff, the agencies may need to search for their own formula or model in order to improve the programs as soon as possible, as did the Department of Transportation, which is currently in the process of evaluating its CDP. If this situation continues, in the long run, each agency would have its own way of evaluating its program, and it would be difficult for the agencies to compare their information because the information is not standardized.

STRATEGIC SUCCESSION PLANNING

Among various emerging developments during the course of the investigation, the one issue that stood out and drew the most concern was the large exodus of the career Senior Executive Service (SES) members. The increase in the career SES pay in January 1991 was expected to have a substantial impact on the loss of SES members in 1994 because of the "high three" retirement factor. For instance, the Department of Interior is expecting to lose 47 percent of the career SES members eligible for retirement.³ Alarmed by this development, most agencies are preparing for the possible losses by examining and assessing potential losses and looking for a way to deal with them.

The projected exodus of career SES members also drew attention from the National Academy of Public Administration (NAPA). Last year, NAPA investigated this issue by examining various succession planning practices of more than forty private and public organizations in order to search for the most applicable approach or method to succession planning for federal agencies and to improve the representation of women and minorities in the career executive level.

After a thorough study of the existing succession planning practices, plus a review of hundreds of publications and consultations with academics and experts on the subject, NAPA produced a report providing a number of recommendations in coping with the 1994 exodus both short and long term. One recommendation in the report that deserves special attention because it is closely related to this study

³ The OPM/PCMI Executive Succession Planning Conference, McLean, Virginia, April 8, 1992.

is the significance of institutionalizing succession planning in the federal agencies by integrating succession planning with organizational strategic plans.

While the executive market is becoming more global, competitive, diversified, and dynamic, the results from the NAPA study implied that a simple and static method of filling the career senior executive services on a year-by-year basis is insufficient. A better and more sophisticated mechanism is required to prepare for future potential losses both in short-and long-term plans. That is, the succession process needs to be strategically planned and implemented. The NAPA study also presented a model which was considered the best practice for the federal agencies. The model included key components of requirement projection, candidate identification, assessment, development, and selection (NAPA report, 1993, p. ix).

According to NAPA's report, the agencies have to identify their missions, structure, processes and human resource requirements prior to planning for executive staffing. This means that the agencies policymakers need to have a strategic plan, indicating their missions, processes, and human resources. Then, action can be taken to develop the pool of executives possessing skill and knowledge identified in the strategic plan (NAPA's report, 1993, p. 3).

The question here is not what should be put into the questionnaire. Rather, it is the question of how to get cooperation and trust from the career SES members to provide the information for projections. From the informants' point of view, an answer given at this stage may not hold true in the next year or two due to the

involvement of various factors and the change in circumstances. For instance, a decision to join private corporations in 1994 may be postponed because the economy is not getting better, and staying in public organizations might be a wiser decision. In addition, even though they definitely decide to leave public service by the year 1994, a true answer given to the agencies may later have negative impacts on their career.

Regarding the projection process, one agency raised a serious question about the accuracy of a mathematical model used in projecting future executive losses. For one reason, the mathematical model is not a perfect "formula" that can take into account all uncertainties. It is true that all other factors such as age, the year the executives will retire, etc. can be numerically put in the "formula." However, the model cannot be used to project and predict the executives' behavioral changes that might occur in the future.

Nonetheless, the attempt to get the information from the career SES members is not totally hopeless. The Department of Transportation (DOT) did survey their career SES members about their eligibility to retire in 1994. The department found that 50 percent confirmed the decision to retire and 20 percent had a tentative plan to retire. The results of the survey are now used to fine-tune the DOT's SES Candidates Development Program (CDP) in increasing the representation of women and minorities in the SESCO in the coming year.

At this point, the question of the projection phase is about the kind of information the federal agencies need to know in order to prepare executive

candidates. Drawing upon the concept of the strategic management, the federal agencies need to know more about their internal and external strengths, weaknesses, opportunities, and threats (SWOT) that might have future impacts on the career senior executive replacement (Grant, 1987). Examples of the external forces in this respect may include the change in the new administration, the global economy, the competitiveness of the executive market, and so forth. The internal forces, for instance, are the demand for cultural diversity in the career SES ranking, the downsizing, budget constraints, and reinvention of government. These are some of the forces that the agencies need to consider in identifying their missions, structure, and processes.

The most important action that agencies should take at this stage is to develop a data base regarding their executive staffing. To develop a data base, the agencies need to assess their executive staffing needs and to identify the number of career SES who will be leaving the service for the next 3-5 years, the number of those who left in the past few years, the number of available career SES at present, the number of staff members at GM 14-15 who are potentially qualified for the SES positions, the number of staff at the GS 11-13 who may become future supervisors, managers, and executives, and the capabilities of the agencies in developing a pool of qualified candidates who will resume the SES positions. The above data can be collected through surveys or questionnaires which will provide a basis for the agencies to create a data base. This data will be very helpful for the agencies projecting the need for the career SES and providing relevant trends as well as comparative information with other agencies.

It is important that the federal agencies take the succession planning issue seriously because the loss of a large number of experienced executives without adequate replacements can have substantial and immediate impacts on the effectiveness of the agencies. The problem can be successfully solved or can create a catastrophe in the federal executive leadership. How the agencies prepare to cope with this problem depends tremendously on how the agencies' policymakers or the Executive Resources Board (ERB), who identifies the CDP's goals and objective and administers and monitors the program, perceive this scenario. If the policymakers, or in this case the ERB, perceive that this situation is an opportunity for their agencies to bring in new generations with new ideas, attitudes, and values, they may opt to fill the SES vacancies by recruiting from outside their organizations. The most direct effect is that the CDPs are neglected and discarded, resulting in lowering the morale of the candidates attending the programs and the managers and supervisors in the agencies who are pursuing their executive career goals.

It is the purpose of this study to emphasize that the Candidate Development Program (CDP) is receiving special attention in light of the concern over the upcoming losses of career senior executives in 1994. Taking into account all the circumstances surrounding the losses, the agency ERB should develop a pool of SES candidates ready for future replacement. I strongly believe that this in-house development is not the ultimate answer to the exodus problem. However, this method should be implemented because I believe that the development of future executives from in-house would upgrade morale, leading to increase productivity and effectiveness. In addition, with a well-planned and systematic career system,

the replacement of the career executive from inside the agencies would help managers and supervisors see that they could be promoted to the next rung in their next career ladder. The issue of the executive career is discussed in the next section.

The results of the investigation have strongly indicated that succession planning has not been established and institutionalized. The main reason was because the replacement of career senior executives has never become an issue until President Bush authorized an increase in the executive pay in 1991, leading to a potential "great rush" in 1994. In addition, the agency leaders or policymakers did not see the importance of succession planning because it means more staff, technological support, and funding. I believe that this is the time to establish such a system in every federal agency prior to the implementation of the SESCO or any kind of executive development programs.

INDIVIDUAL vs. ORGANIZATIONAL NEEDS

One emerging trend in the development of the SES candidates is balancing individual and organizational developmental needs. As the agencies struggle to achieve the federal government's and their major objectives in providing a pool of SES candidates for future placement in SES positions, they should also pay special attention to individual needs. The SESCO fostered creative, self-directed, and proactive executives in order to bring out the best from the individuals which is believed to help improve and increase organizational productivity and effectiveness.

The results of the investigation show that the implementation of the assessment center is a significant tool in the developmental process of the SESCO. The assessment center was part of the developmental process in assisting the candidates in developing their Individual Development Plan (IDP). A week-long assessment center seminar focused on individual characteristics in relation to Office of Personnel Management's six competency factors. Part of the assessment test used in-depth interviews, behavioral exercises, personality and projective tests, and several questionnaires and essays. Each candidate's assessment was then reviewed by the assessors, who rated each performance on different OPM criteria. The results were then fed back to the candidates.

The results of the assessment provided input for not only the development of the IDP for the SESCO but also career planning in the federal government. The assessment process offered insight into the candidates' developmental activity needs in comparison to others and in relation to OPM's executive factors. In addition, it also provided information on career insight, including not only the nature of the career goals but also their sensitivity to social and political environments at work and the accuracy of their self-perception. Most importantly, the assessment was valuable to the individuals who felt that they lacked career direction, self-confidence, and/or a sense of their own strengths and weaknesses, which were expressed in the IDPs.

Most candidates or graduates indicated that the IDP was one of the program strengths. It was designed to include all relevant developmental needs of individual candidates. Considering the new OPM executive development

framework, the IDP will increase in importance, and it is challenging to the agencies to use the IDP effectively for achieving the agencies' strategic goals and shaping their cultures, at the same time responding to individual developmental needs for executive career or career planning. Thus, the largest challenge facing the agencies in designing the IDP is how to use the results or information acquired from the assessment process to prepare their career planning.

Career Planning

As pointed out in chapter 5 and in chapter 4 about OPM's new proposal, current SESCDP did not offer the candidates the opportunities and information to prepare or plan for their executive careers, or "second professions" in the federal government. The IDP was particularly designed and intended solely for the completion of the SESCDP requirements. It is challenging for the agencies to capitalize on the use of the assessment process to assist the candidates plans for their executive careers. Through the assessment process, the candidates were given opportunities to make choices as to their job assignments and self-development, and to evaluate career opportunities and prepare a career strategy implementation plan, all of which was a key to enhancing their personal career development.

However, the candidates' career planning cannot be achieved or accomplished without the assistance of the agencies or the federal government. Executive development should be an integrated process of two separate but interrelated functions between the individuals and the agencies of the federal government. While the career planning, on the candidates' side, is an individual

process, agencies' career development is an institutional process which covers all human resource activities that are designed to help match employee interests and capabilities with organizational opportunities.

Examples of the career development activities on the organizational part might include the establishment of a career resource center, individual career counseling, a mentoring system, and a system that would ensure meaningful dialogue between the individual and the agencies or organizations concerning their career opportunities. A successful integration of the processes would assist not only the individuals to achieve better self-understanding and the identification of desired career goals but also the organization could reduce turnover of valuable executive resources and improve communication of career opportunities to federal executives.

THE POLITICAL EFFECTS OF THE NEW ADMINISTRATION

The analysis of the implementation of the agencies' SESCDPs cannot be completed without considering the emerging effects of a new administration. The Democratic Party winning the presidential election in 1992 had significant impacts on the executive leadership and the continuing implementation of the agencies' SESCDPs while they were being investigated. The following considers the relationship between career executives and political appointees, followed by the effects of the administrative transition.

Careerists and political appointees relationship

As President Bush said to the senior executive Service, the presidential transitions in the past were usually "hectic, frenzied, swift, and voluminous" (*Bureaucrat*, 1989, p. 5). However, the presidential transition is even more hectic when the new group of leaders is from the opposition party.

Considering the political circumstance of the SESCO, the program was part of the twelve-year Republican era. Ever since it was established, its policy has been designed and implemented by a group of non-careerists who were appointed by the Republican Party. The Democratic Party victory in the 1992 presidential election brought about a change in political executives by bringing in new political executives who were affiliated with the Democratic party.

As this study of the agencies' SESCOs was under investigation, the government was at the same time changing political leaders. The challenging issue here is the importance of creating a smooth transition for incoming and outgoing personnel to bring about a strong and close relationship and cooperation between the career and non-career executives in carrying out the government's responsibilities and missions. The relationship problem between career and non-career executives is delicate, but solvable. It is obvious that a good relationship between the two groups is difficult to establish because they were recruited through entirely different staffing processes. The career executives were selected by a competitive merit-based process that required specific executive competencies and technical qualifications. The political appointees, on the other hand, were appointed by the political leaders and were not subjected to any

executive competence criteria and technical examinations. Through the political appointment, the career executives were expected to play policy support roles to the non-career executives.

As the Volcker Commission Report indicated, the number of the non-career executives has increased substantially from 1965 to the present (1989, p. 17), resulting in diminished opportunities for the career executives to climb to the top. The excessive number of political appointees, up to 25 percent of an agency's senior executives, not only limits the career executives' opportunities, but also increases the tension between the career and non-career executives.⁴ A National Academy of Public Administration's study indicated that a major reason for senior career executives leaving the service was the increase in dissatisfaction with the increasing number of political appointees. However, the Volcker Commission strongly believed that a strong and close presidential and career partnership must be established on trust. That is, a healthy relationship must involve give-and-take from both rather than condemning each other, in which the career executives were often scapegoats. In an ideal situation, career executives are willing to faithfully implement the policies, while political appointees are willing to listen and share their policy discussions with the career executives. Most importantly, both must be willing to work as a team and allow each other to participate with a full understanding of each other's roles. To strengthen the career and non-career

⁴ The increase in the number of the non-career executives in some federal agencies must not be confused with the 10 percent limitation required by the Civil Service Reform Act 1978. The 10 percent is still in effect and monitored by the administration and Office of Personnel Management (OPM). That is, some agencies may have higher percentage of the non-career executives than others, but the total number of the non-career executives as "governmentwide" must not exceed 10 percent. Up to the present, the administration and OPM have been strictly enforcing this limitation.

leadership and to create a smooth administration transition, guidance from the new administration should be provided to both.

In 1988/1989, President Bush's Management Improvement Committee, the Senior Executives Association/ Professional Development League (SEA/PDL), offered six transition workshops during and after the Presidential election. Participants provided two lists of guidelines for careerists and political appointees to facilitate the presidential transition. This may be an opportunity time for the new administration to address the question of what is the appropriate relationship between the career and political executives, especially when the new administration is attempting to "reinvent the government." It is quite disappointing that the recent Vice President's *Reinventing Government Report* (1993) did not address this issue.

The political effects on the implementation of the SESCDPs

5 U.S.C. 3393(b) requires that each agency creates an Executive Resources Board (ERB) to be responsible for conducting the merit staffing process for career executives entering the SES positions. Other responsibilities include functioning as an advisor to the agency in executive personnel policy, utilizing executive resources and executive development, and evaluating the executive personnel program.

Regarding the federal executive development program, the ERB also has additional authority to recommend individuals for the program, to oversee a senior advisor, and to evaluate the performance of the candidates. By law, the board

members include presidential and SES appointees, career and non-career appointees, civilian personnel and commissioned officers, headquarters and field representatives, and representation of minorities and women.

The most obvious and immediate impact of the new administration on the implementation of the SESCO is the replacement of old political appointees in the ERB membership with the new ones. This expected patronage staffing brings in a new group of political appointees who will bring in new values, attitudes, and, most importantly, new political philosophies affiliated with the Democratic Party. While the government is in the transition process, it is too soon to judge how these new values and attitudes might impact the implementation of the SESCOs during the course of the investigation. Nonetheless, early impacts of the administrative transition on the implementation of the agencies' SESCOs could be detected while the agencies were awaiting replacements.

One of the impacts is the continuous implementation of the SESCO. Among the agency programs investigated, the most noticeable impacts are the Department of Interior (DOI) and the Department of Transportation (DOT). The DOI has been continuously developing the SES candidates for the past several years. Up to date, about six SESCOs were implemented---program numbers four and six had two sessions. Program number seven had been underway and its program announcement was prepared and approved by OPM. According to its original plan, the program was supposed to begin its selection process in September 1992, with orientation in January 1993. However, due to unrevealed

political reasons, the department had put off its plan this year. Up to now, this program has not yet been implemented.

In the case of the Department of Transportation (DOT), the administrative transition is considered an opportunity for the department to improve its SESCO. Unlike the DOI, the DOT had taken advantage of the change in the administration by discontinuing the SESCO this year in order to review and evaluate the SESCO. To improve its program, the DOT has been searching for a formula or model to evaluate the program.

While the DOT was able to maximize the opportunity for the administrative transition, the Department of Labor (DOL) was in confusion. The current SESCO, the first departmentwide program, was announced in June 1992. The final selections of candidates were made in November 1992, and the program immediately began its formal training, prior to the change in the administration. The SESCO candidates who are now in the developmental process were selected by the ERB whose members were from both career SES members and non-career executives appointed by the previous administration. As the candidates were attending their formal executives courses to meet OPM requirements, the government was also in the transition process, leading to the change in the components of the SESCO's ERB. In other words, the DOL's current SESCO is operated and monitored by a new group of ERB members due to the administrative transition, while the selection of the candidates was processed by the old group of ERB. The change of the ERB members during the course of the SESCO created

confusion and frustration among the DOL staff operating the program and the candidates who are now working on their developmental assignment activities.

Most importantly, the change caused low morale among the candidates being interviewed. The DOL participants felt disappointed and had an idea that they and the program were not given enough attention and that the administrative transition and the changes happening in the department had distracted all interest from SESCDP. In sum, the candidates felt that the new administration should recognize and pay more interest to the program and especially the development of the candidates.

The administrative transition appeared to show no effect on current implementation of the Department of Veterans Affairs' SESCDP. Future effects may occur to the Small Business Administration (SBA). Recently, the Vice President released the *Reinventing Government Report*, officially known as *From Red Tape To Results: Creating A Government That Works Better & Costs Less* (1993), to reform and improve effectiveness and efficiency in the government. Among various recommendations to omit duplication was one to cut the number of regional offices of the SBA. In this respect, the SBA's SESCDP candidates who usually have more choice about where they wish to do their developmental assignments may be affected by this reduction. In addition, a more direct effect would be on the SBA's District Director Candidates Development Program (DDCDP), which prepares and develops federal employees at GS/GM 13 and up to become District Directors. The DDCDP candidates who successfully have completed the program requirements are guaranteed positions. It would be

disappointing if a successful program such as DDCDP which has given opportunities for women and minorities at the GS/GM 13 and higher may need to decrease the number of candidates because of reductions in the regional offices. While the government is attempting to increase the number of women and minority executives, this type of DDCDP which prepares managers at lower level should be promoted in every federal government agency. Therefore, the plan to reduce the SBA's regional offices may not happen in order to allow women and minorities to progress in their executive career.

SUMMARY

By analyzing the SESCOEP across five agencies, four distinctive issues emerged to indicate that the current SESCOEPs of the five agencies in the investigation were still far from what was initially intended by law and regulations. The major source of the problems reside in the non-comprehensive and unsystematic establishment of the executive development program in the federal agencies. Related to this problem is the missing of the career ladder concept in the design, which did not allow the federal employees to see how they could progress at each level of the career development program. Therefore, they were not able to plan for their "second profession." In addition, the difficulties in introducing the concept career ladder increased when the program graduates had limited three-year eligibility to be promoted to the SES positions.

The problem of the executive development program accumulated when a large number of the career SES members were expected to leave the agencies in the near future. This "great rush" problem can be solved with the

institutionalization of strategic succession planning in every federal agency, which is analyzed in the next chapter. At the time of change with the new administration, it is an excellent time for the agencies and OPM to come together and help counteract the problems as well as improve the design and the implementation of the federal executive development program.

CHAPTER VII

CONCLUSION AND IMPLICATIONS

When this investigation began investigating the Senior Executive Service Candidates Development Program (SESCDP) in the federal agencies a year ago, the largest concern in federal executive leadership was the projected loss of the career senior executive services (SES) by the year 1994. The loss of about 36 percent is projected Governmentwide, including 37 percent of the department of Transportation (DOT), 47 percent of the Department of Interior (DOI), 38 percent of the Veterans Affairs (VA), and 35 percent of the Department of Labor (DOL).¹

Although the SESCO is not the only means of providing a pool of leadership for the SES positions, the effect of the exodus could have been mitigated if a systematic program had been in effect. This study focused on the implementation of the SESCO by examining succession planning, the selection process, the developmental process, and the evaluation process. With the permission and help of the federal agencies, five agencies currently operating the SESCOs were selected for multiple case study research: the Department of Interior, the Department of Transportation, the Department of Labor, the Department of Veterans Affairs, and the Small Business Administration.

Through various methods of data collection, documents were gathered and interviews were conducted throughout the course of the investigation from summer 1992 to summer 1993. The respondents, such as the agencies' policymakers,

¹The OPM/PCMI Executive Succession Planning Conference, McLean, Virginia, April 8, 1992.

program coordinators, experts, and some participants, were interviewed in February and Summer of 1993. The following presents the results of the investigation.

The process of selecting the candidates in all five agencies was found to be extremely competitive, based on merit system criteria. Although one process may be more complicated than others, the selection process in general included the screening of application packages and the interview of the potential applicants. An exception was the Department of Transportation, which conducted both the interview and the assessment center test in this selection process.

In every agency, the screening of applications was handled by participating bureaus or offices. As a common practice, the application packages included the standard form for federal employees (SF-171), an application describing applicants' work experience and personal work activities in relation to OPM's six competency factors, an appraisal of their executive achievement, and an appraisal of their performance by their supervisors. These packages were reviewed and screened by the SES panels. After reviewing the applicants' background, experience, and related materials, a certain number of highly qualified applicants was selected and notified for the interview.

The interview was conducted by an interview panel, composed of the SES members. During the interview, the nominees were asked to present case studies and to answer a number of questions, including their goals in participating in the program and their mobility to relocate. At the end of the interview process, the

SES panels provided the ranking (from 1 or marginal to 5 or outstanding) to each nominee. Finally, each nominee's scores were totaled. The list of qualified applicants was then forwarded to the agency's Executive Resources Board (ERB) for final selections.

The ERB, consisting of both career and non-career SES members, had substantial impacts on the SESCDP. It was responsible for not only selecting the candidates, but also administering and monitoring the SESCDP throughout the course of the program development. Its impacts on the implementation of the program can be clearly seen especially in relation to the impact of political the climate surrounding the program, analyzed as follows.

Among the five agencies in this investigation, the Department of Transportation appeared to employ the most complicated process in selecting the candidates for the program. First, the department did not use OPM's six competency factors as a guideline in reviewing the applicants' backgrounds and work experiences. Instead, the department designed its own competency factors which fold into OPM's six competencies. Second, the process of screening and rating of the applicants was conducted in two stages: 1) by the Department of Secretarial Officers and Heads of Operating Administrations and 2) by the Department's Review and Referral Committee. The initial screening and rating was performed by the first group who forwarded the results to the second panel. The qualified applicants selected by the initial screening stage were classified into groups "A" and "B." Group "A" represented the top-ranked applicants and group "B" was those designated well-qualified.

After the two levels of the application screening processes, a number of qualified applicants were nominated for the interview which was conducted by the SES panels. At this stage, the interview process was conducted in the same manner as in other departments. However, unlike others, the DOT's SES panel would again provide two separate groups of qualified nominees for the selection--group "A" for the those above average and group "B" for those having average potential. This list was then sent back to the Department of Secretarial Officers and the Heads of Operating Administrations who initially had screened the application packages. Those selected at this point were required to go through the assessment center, the final stage of the selection process. The results of the assessment center tests were used to identify the candidates' developmental needs and to select the final candidates. The qualified candidates had to show that they possessed potentials to be future executives in relation to the basic competencies designed by the department.

In comparison to other agencies' practices in this investigation, the selection process of the Department of Transportation was found to be complicated and time-consuming. One can explain this long process by observing the number of applications reviewed by the department. In fact, nearly 600 applications were processed. Due to the tremendous workload required in processing the application packages, the DOT is now in the process of reviewing and evaluating its selection process.

One thing that the DOT should consider is moving the assessment center process from this selection process to the development process. It is inefficient

and ineffective to spend time and money on assessing the developmental needs of those who may not be qualified to participate in the program. In addition, the assessment center also required assistance from a number of SES members who functioned as mentors by providing advice to the applicants and assessing their strengths and weaknesses. Therefore, it would be wise to shorten the selection process, thereby reducing time, cost, and human resources.

Regarding the developmental process of the SESCO, the findings show some general similarities on how the candidates prepared their Individual Development Plans (IDPs). In general, the candidates had to take a formal training course listed and approved by OPM. The most popular courses included the ones offered by the Federal Executive Institute's Leadership Program and by George Washington University. Among the agencies investigated, two agencies required an additional formal training operated by their departments. The main purpose of this requirement is to fulfill special needs of the individual agency. One is the Department of Interior, requiring the participants to attend three seminars (part of the orientation session): 1) *Executive Leadership Skills*, 2) *Strategic Management Practices*, and 3) *The Environment of Executive Decision-Making*. The other is the Department of Veterans Affairs (VA), which required the participants to complete *Leadership VA*.

In every agency, the major part of the developmental process focused the involvement of the candidates in real life situations at the workplace. In this respect, the developmental assignment activities were individually designed to suit individual needs. These assignments gave the candidates the opportunity to

improve various competency areas that they might have potential weaknesses at the executive level. It is also common that during the course of development, the candidates could adjust the assignment activities listed in the IDPs with the advice of their senior advisors.

The results show that most respondents were satisfied with their developmental assignment activities. In addition, they strongly agreed that the individual assignment was the strength of the program because it allowed them to experience executive responsibilities and circumstances surrounding the job. The only respondents that would not agree with this finding were those at the Small Business Administration (SBA), who had participated in the SBA's District Director Candidate Development Program (DDCDP). One stated, " I felt like I learned a lot more...by being in the DDCDP than I did in the SESCO." In addition, he also felt that "[he was] about far off from having all the competencies to begin with and that going to the program did not significantly enhance [his] capabilities to be [an] SES level manager."

The most common tools the agencies used to identify candidates' competency needs were the assessment center test. Part of the activities during the assessment center session was various psychological tests like Myer-Briggs and exercises designed to elicit what the candidates would expect to face as career senior executives. It is interesting to find that the results of the assessment center session were only used for a limited purpose--designing the Individual Development Plan (IDP). The results were used only to identify the competency areas that the candidates needed to fulfill in order to meet OPM's requirements.

It is challenging to see in the future whether the agencies will use the assessment center results to provide for broader purposes than solely for the development of the IDP, such as to provide for career insights, career planning, and career identity. The results of the assessment test can provide the individuals with career insights into their skills, needs, and ambitions in relation to career opportunities. That is, the results help them understand themselves and the opportunities available to them within their agencies. Moreover, the individuals can search for their career identity with the help of the assessment center test. Through the assessment, they can discover what their goals and motives, both intrinsic and extrinsic factors, are in the federal executive career, such as to strive for advancement, to seek recognition, or to receive additional financial benefits.

The investigation also found it common among five agencies that they never formally evaluated their Senior Executive Service Candidates Development Programs (SESCDPs). The only agency now attempting to review and evaluate its program is the Department of Transportation (DOT). In addition, OPM's role in this particular area was found to be weak due to the reduction in the number of OPM staff who were responsible for the executive development program in past years. The only way to force the agencies to evaluate their Candidates Development Programs is through OPM's strong, active leadership role in providing them with some guidelines. Unfortunately, the present numbers of OPM staffers and the possible reduction in workforce in the future appears to create a barrier for OPM to be as aggressive as it desires. Nonetheless, this should not stop OPM from performing an active leadership role in providing guidance, policy framework to the federal agencies. OPM's leadership role can be further

strengthened with the influence and support from the Clinton Administration which is attempting to "reinvent" government. However, this kind of influence appears to be missing from recent reinventing government. However, this kind of influence appears to be missing from recent reinventing government report by Vice President Al Gore (1993).

In addition, the investigation results also show four emerging distinctive issues in the federal agencies' SESCDPs: systematic development, strategic succession planning, individual versus organization needs, and the effects of the new administration.

The first issue arose from the design of the executive development program of the federal agencies. The findings indicate that all five agencies did not systematically design their executive development programs for federal employees at all three levels of management--supervisors (GS 11-12), managers (GS/GM 13-14), and executives (GS/GM 14-15), respectively. First, the agencies' development programs did not show interrelatedness and interdependence. In fact, the agencies trained and developed qualified federal officials only at the executive level. Secondly, in relation to the lack of a comprehensive development program, the agencies' development programs showed no continuity in the development process. The federal employees were not given a structured opportunity or program to progress from one level of management to the next level and to the highest level. The findings reveal that this flaw in the design may be one source of the under representation problem of women and minorities in the SES ranking. In this matter, it is recommended that agencies develop and systematically implement

training and development programs to give all levels of federal employees better opportunities to pursue their "second profession."

The second issue drawn from the study is the need to institutionalize succession planning in federal personnel staffing, especially at the executive level. The root of the speculation and reaction to the "great rush" of 1994 may lie in the lack of strategic (personnel staffing) succession planning regarding the number of career executives needed every year. Although the findings show no sign of succession planning in all five agencies during the past years, succession planning is becoming more important. The very first movement came from the survey conducted by the National Academy of Public Administration (NAPA), which released its report early this year. The results of the NAPA study drew attention from both OPM and every federal agencies affected by the projected losses in 1994. From my current observatory, the projected "great rush" does not appear to occur. This may be due to economic recession and the reduction in the number of employees in private organizations.

This investigation of five federal agencies' SESCOs reveals that every agency used the same method of filling SES vacancies. This method of personnel staffing might be assumed to be working when the circumstances surrounding the agencies' programs were stable, and unchanging. However, the staffing of career senior executives is complicated by consideration of recent developments in the federal government, e.g., the global economy, downsizing, budget cuts, and the "reinventing government" movement. Considering the many factors involved in executive staffing, a better means of projecting and managing executive

replacement is immediately to require that agencies strategically project and manage future executive vacancies.

The third emerging issue is the increasing importance of balancing individual and agency needs through the introduction of "career" executives in the federal government. Every agency agreed that the Candidates Development Program (CDP) was customarily designed to respond to individual needs. However, the challenging issue behind this was not solely fulfilling the candidates' needs in completing the program. Rather, it is an issue of how individuals can progress and accomplish their need for executive attainment and at the same time meet the needs of their agencies and the public service.

In response to these issues, the agencies have to design a comprehensive and systematic development program for all levels of management, that would show natural progress in the executive career ladder. Second, the candidates need to develop at least two separate, but related Individual Development Plans (IDPs). One would be designed to capture all developmental activities needed to meet program requirements. The other would be used for their executive career or "second profession" in the federal agencies. This career IDP would give the candidates ideas about what and how they need to do to climb up the career ladder. Thus, the career IDP functions as a "map" to show the candidates which route they should take to progress in their career, while the other IDP provides details on developmental activities and assignments they need to take for a particular development program. Certainly, the IDPs cannot be assumed to hold

true at all time. In fact, the candidates can adjust the details in either IDP any time after consulting with their senior advisors.

The last emerging issue is the effect of presidential administrative transition. As generally accepted politics and administration are intertwined (Appleby, 1945). Therefore, the investigation cannot be fully completed without considering the political circumstances of the SESCO.

The political factors surrounding the agencies' SESCOs and the administrative transition appear to have had a substantial effect on the agencies' administration of the programs. The most obvious impact was on the Department of Labor. On the administrative side, the new administration caused a change in the composition of the Executive Resources Board (ERB), which had authority for making final selections of the candidates and managing and monitoring the Candidates Development Program. This new "chemistry" in the ERB brought about confusion and frustration among the department program coordinator and the candidates.

In this situation, the program coordinator is in a position to keep the newcomers informed of the Candidates Development Program and to respond to new policies and political attitudes brought by the newcomers. This may draw special attention to the program coordinator and administrators from the program and the candidates, leading to neglect of the candidates who expect recognition, acceptance, and advice from the program coordinator and administrators, as well as the ERB. One respondent remarked that

"we were actually selected by the people in the previous administration. They are gone now. We have a new set of leaders in the department and the agencies. So, the transition affected the program and also the people working at the executive level. They also focus on new ways during this period of time.... I do not mean to suggest that the ERB of the agencies and the leadership executives have not done, basically, supported the candidates. There has not been any special attention, only the general nurturing."

On the candidates' side, the confusion and frustration among them occurred because of the adjustment made in the composition of the ERB. The candidates, now undergoing their developmental process, were selected by previous ERB members, some of whom were replaced by the new political appointees. The changes distracted the program administration from the program and the candidates who need closer attention from the new ERB to provide the guidance and assistance they may need during the developmental process. What the department needs to do at this point is to show the candidates that they are important to the department and that the development program is also essential to preparing future executives. In addition, special attention should be given to the Candidates Development Program, especially by the ERB, which plays an important role in administering the program.

The administrative transition is also a key factor in causing the discontinuity in the implementation process of the SESCDPs. While the Department of Transportation saw the transition as an opportunity to review and evaluate its current program practices, the Department of Interior's (DOI) SESC DP was interrupted. The DOI's program, which had planned to announce in

November 1992, was suddenly stopped due to political reasons that could not be revealed by the department.

In conclusion, the SESCDPs of five agencies in this investigation were found to share some general similarities. For instance, the selection process of the candidates was extremely competitive--although some may be more complicated than others. In addition, the developmental process usually included orientation, formal training, and developmental assignments. Some departments may require additional departmentally operated formal-training, such as the Department of Veterans Affairs. It is interesting to find that the Office of Personnel Management (OPM) did not play an important role in motivating the agencies to evaluate their Candidates Development Programs. Therefore, it may be useful for OPM to fulfill its future role in this matter.

RECOMMENDATIONS FOR FUTURE DEVELOPMENT

From the investigation, four emerging issues were derived concerning the design of the executive development programs in the agencies, succession planning, individual and organization needs, and effects of the new administration. With regard to the above issues, the following recommendations are summarized.

First, a "systematic" development process for the career executive development program needs to be installed in every agency throughout the federal government. That is, the executive development system should be composed of three interrelated and interdependent programs for the three levels of management: supervisors, managers, and executives. A linkage mechanism should exist to

interrelate all three levels of development programs in such a way that the federal employees can potentially progress from supervisors, to managers, and to executives as long as they keep improving their competency.

Moreover, the programs should be implemented in a continuous fashion. This includes the continuing process of acquiring candidates, training and developing them, and evaluating the program to provide feedback for further improvement in the implementation process.

Second, a better method of executive staffing is needed in every agency. This method should be flexible enough to recognize and adjust to changing situations. In other words, a strategic approach to succession planning of federal executive staffing constitutes a priority need. Strategic succession planning requires that the agencies assess both internal situations--the availability of present SES members, the number of those who plan to leave the agencies in the near future, the potential candidates for future development at all level of management, and the agencies' capabilities to prepare and develop supervisors, managers, and executives--and external forces that might affect future executive turnover. In this way, agencies will know their strengths and weaknesses and are able to develop executives for future need.

Third, to accommodate successful strategic succession planning, a computerized data base needs to be established in every department. The data base would contain information gathered from the SES members and all potential executive employees within the department. The information listed above can be

collected through surveys which need to be conducted regularly to update the data base and to provide for accurate projection of the number of SES vacancies. It is important to note that this data base should be standardized or in a format that can be read and shared among agencies.

Fourth, because every federal employee is one of the most important resources to successful administration of government activities and services, the agencies need to balance individual and organization needs. To assist the individual employees in fulfilling their career development needs, career resource centers should be provided. This center should be housed in the Office of Personnel Management, which is able to acquire information from the federal agencies and provides an information linkage among the agencies. Since the individuals cannot self-actualize their career goals by always being in the right place at the right time, the career resource center can serve as a focal point for the employees to get access to information related to career development. The centers may function as a library, housing materials, books, learning guides, self-study videos or even providing career counseling to employees. This center may also function as a center stage for distributing information manuals, brochures, and flyers, regarding the available executive development program and its details. Overall, the center is one channel through which federal employees can get information about executive careers and career development in the federal government.

Fifth, to further facilitate progression in the federal executive career system, the results of the assessment center test should be efficiently used for broader

purposes besides the preparation of the Individual Development Plan (IDP), for example in career planning and career insight. Moreover, a computer-based career planning program should be provided. An example of questions in this program would be to ask the federal employees' opinions of what can help enhance their career development.

Sixth, due to a lack of evaluation of program effectiveness, future research needs to examine the evaluation practices of private organizations in order to search for an evaluation framework that is most applicable to the federal agencies' SESCDP. In this matter, OPM should be an active leader in developing such a framework so that the program evaluation results can be compared among various agencies.

Finally, OPM should be more aggressive than it was in the past in leading, guiding, and providing services to the agencies. In this light, the OPM cannot afford to design the executive development framework and leave the implementation of the policy to the agencies because a lack of continuity in policy implementation can occur at any point during the implementation process. What the OPM should do is first to design a "systematic development program" and framework for implementation. This is an important step that should be carefully taken into action. Regarding this action, the study discovers that OPM has recently developed and designed a new executive development framework, which is considered comprehensive and systematic. But OPM's role does not immediately stop at this point. The next step is to clarify this new framework to the agencies and to ensure that the new system has been properly implemented in

relation to the law and regulations. Most importantly, OPM needs to enforce the agencies to evaluate their programs that appears to be absence. In the same manner, a strategic succession planning should be design and implemented in every agency because a simple staffing method may not be sufficient to fulfill future executive needs.

In addition, OPM needs to provide information about executive career development in the federal government all federal agencies by establishing a career resource center. As previously mention, this center collects all kind of information regarding career opportunities and development to every federal employee at all level. In other words, the center is a data bank for executive development opportunities in federal agencies.

It is important to note that the above recommendations cannot be fulfilled without support from the new executive appointees of the Clinton administration. Any initiatives that help improve the federal executive development program require substantial financial resources, human resources, and technical support from the government. In addition, successful development of a pool of candidates who will become future executive leaders requires strong leadership and management support from OPM, that should be available to provide consistent guidance to the agencies when needed. Most importantly, managerial cooperation between OPM and the agencies is essential to creating a "systematic development process" to positively affect federal executive career staffing.

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APPENDIX A

QUESTIONS FOR THE INTERVIEW

General Information

1. Do you have a policy or statement about developing SES?
2. What is the agency philosophy in developing SES?
3. Have these policies or systems changed significantly over the last fifteen years?
If so, how?
4. What stimulated any changes?
5. Have there been partial initiatives within the total system which have been important (e.g. a particular process or activity)?
6. Is there anything else about the history of management development in your organization which will help us understand the comments we will receive?
7. How significant have formal processes been in developing managers as compared with informal processes?
8. Do you have any prospective changes to your management development processes in mind?
9. How do you evaluate the agency's investment in management development?
10. What are the greatest strengths, and the greatest weaknesses, of your organization's processes for establishing potential SES?

Succession Planning

11. Do you do succession planning or resource planning? If so, how? Is what you are doing satisfying the real needs of your organization?
12. Are there any agency policies and procedures that you perceive as barriers and obstacles to effective succession planning?
13. How are candidates selected? or What are the criteria in selecting the candidates?
14. Do they represent national diversity?
15. How do you identify talent women and minorities?
16. Is the process competitive?
17. Is it an internally or an externally oriented process?
18. Are candidates identified with specific positions?
19. How often are those determinations updated and what is the process?
20. Do you use the rotation as a strategy to manage the internal flow of the number of the SES?
21. What happens to candidates after they are identified in terms of management and the individual candidate's expectations?

22. What are their obligations?
23. What criteria are used to determine retention in the program?
24. What communication processes exist to keep the candidates informed of what is happening to them and what they are being prepared for?
25. How do they progress?

Roles of the OPM

26. What do you think about the role of OPM in influencing your agency in succession planning and in implementing the CDP?
27. What do you do to assist the agencies in doing succession planning and implementing the CDP?

The Candidate Development Programs

28. What kinds of development plans and programs exist?
29. What is the evaluation process for determining the effectiveness of the development plans and programs?
30. How can the CDP help fulfill the succession planning?
31. Is there any linkages between the future SESCO to the succession planning process?
32. What are the major strategies in developing the SES candidates?
33. Is the succession planning comprehensive and continuing process?
34. How do you take into account the ratio of women and minority in designing and implementing the CDP to facilitate their entrance to the CDP?
35. What kind of continuity of the CDP?
36. How do you plan to improve the representation of women and minorities in the SES ranks?
37. What kinds of knowledge and skills do the candidates need to become competent executives?
38. What do you think the most appropriate way to train the executives?

APPENDIX B

Current Programs

AGRICULTURE

USDA's CDP is administered at the Department level, with support from the Office of the Secretary and input from the USDA agencies. Program goals include diversification, avoidance of duplicative training, and addressing the needs and learning styles of candidates directly. Training is narrowly focused, self-directed, and problem oriented.

CONTACT: Rondeau Gurley (202) 720-6977

COMMERCE

The Department of Commerce's CDP is implemented by Departmental operating units, with policy approvals and program support coming from the Departmental level. Individual Development Plans for candidates consist of a variety of required and discretionary training experiences and developmental assignments.

CONTACT: Gary Jacobs (202) 482-4861

National Oceanic & Atmospheric Administration: NOAA's program is a formally structured developmental program designed to identify and develop outstanding persons with demonstrated potential to assume senior executive positions. Participants are exposed to a variety of experiences designed to enhance leadership skills and program knowledge. Participants may be required to participate in training and developmental activities in several different geographic areas.

Contact: Debbie Scholl or Heidi Smith (301) 713-0530

DEFENSE

Office of the Secretary: DOD introduced its Executive Leadership and Development Program II (ELDP-II), a new program to prepare selected GM-14's, GM-15's, O-5(P)'s, and O-6's from across DOD to assume SES or General Officer responsibilities. ELDP-II has three components: an academic program at a Senior Service College, a developmental assignment of 6-9 months, and a research project.

CONTACT: Rosemary Howard (703) 692-2263 or Jan Thompson (703) 693-5235

ENERGY

Energy's CDP requires candidates to participate in five sessions: program orientation (3 days), management systems course (1 week), Congressional forum (1 week), executive speaking workshop (1 week), and OPM executive development seminar (2 weeks). The remaining time is spent in individualized training which can involve rotational assignments, classes, and individual reading. Candidates at headquarters are encouraged to take at least one rotational assignment in the field, and candidates in the field are encouraged to take at least one rotational assignment at headquarters.

CONTACT: Richard M. Bowie (202) 275-7291

GENERAL ACCOUNTING OFFICE

GAO's annual CDP is geared toward managing audits. A mixture of on-the-job training and developmental assignments is offered:

CONTACT: Robert Bolger (202) 275-6185

HEALTH AND HUMAN SERVICES

The new CDP at HHS is open to GM-14's as well as GM-15's. It is a general leadership program, rather than a program designed to meet specific skills and position requirements. The program includes developmental assignments between staff and program management positions. Academic programs may also be utilized, based on the candidate's needs.

CONTACT: Barbara Boyd (202) 245-6418 or (202) 245-6401

INTERIOR

Interior's CDP runs for 15 months and includes assessment of competencies and development of an Individual Development Plan. Developmental assignments of at least two for a total of 6 weeks, interagency executive-level training, and departmental seminars are required for each participant. Additional activities will be scheduled based on each candidate's initial assessment.

CONTACT: Larry Bugranoff (202) 208-3617

LABOR

Labor's CDP begins with participant assessment and development of an IDP. The candidate participates in at least two developmental assignments, classroom training, and agency-specific seminars, workshops, and forums. One developmental assignment is outside the candidate's functional area, and the other is outside the candidate's agency. When possible, developmental assignments include exchanges between regional and national offices. The Department of Labor Academy handles announcements for all components.

CONTACT: Noreen Maloof (202) 219-7401

NATIONAL SCIENCE FOUNDATION

NSF's candidates must be GM-15's or excepted service GM-15 equivalents. Candidates are trained on the basis of their strengths and weaknesses in the six Executive Activities. The CDP includes a rotational assignment and academic training. There is a 1-2-day orientation for the candidates. The program is under review and may not continue in its current format.

CONTACT: Christine Cataldo (202) 357-7601

SMALL BUSINESS ADMINISTRATION

SBA's Candidate Development Program has two components. Each involves a 9- to 24-month program featuring a minimum of two, 60-day development assignments and at least one formal executive level training experience.

Career and Career-Type Component: All qualified Federal employees at the GS/GM-15 level, exceptionally well qualified GS/GM-14's and others at equivalent levels are eligible to compete for this program. Selectees participate on a part-time basis and retain the grade, pay and status of their current positions.

Schedule B Component: This is a full-time program open to persons outside the Federal Government and Federal employees serving in other than career or career-type appointments. Federal applicants must meet the grade requirements described in the above component. Selectees receive excepted service Schedule B appointments not to exceed 3 years.

CONTACT: Suzanne Carrillo (202) 205-6782

STATE

State's CDP is a generalist and leadership-oriented program which includes academic programs and 4-month developmental assignments. The academic component is part-time, and the assignment component is full-time. The program takes 1 year to complete.

CONTACT: Mary Downey (202) 647-6225

TRANSPORTATION

DOT's program involves at least one 3-month developmental assignment outside the candidate's functional area plus courses at the Executive Seminar Centers, George Washington University, and the Federal Executive Institute. DOT will also incorporate "common needs training" within the Department which may consist of TQM, diversity, leadership training, and Capitol Hill workshops.

CONTACT: Randy Bergquist (202)366-6016

TREASURY

Within Treasury, individual bureaus administer CDP's tailored to organizational and employee needs. The most active programs are found in the bureaus listed below.

GENERAL CONTACT: Gary Regan or Cathy Schmader (202) 622-1530

Bureau of Alcohol, Tobacco, and Firearms: The program includes classroom work, developmental assignments, and mentoring, and focuses on generalist executive leadership skills.

CONTACT: Dorothy Talavera (202) 927-8035 (training) or
Dennis Snyder (202) 927-7955 (personnel)

Bureau of Engraving and Printing: The CDP is a part-time program oriented toward building general leadership skills. Candidates undergo developmental activities and are trained at university programs, OPM's Federal Executive Institute, and the Center for Creative Leadership.

CONTACT: Larry Lunt (202) 874-2187

Internal Revenue Service: The CDP begins with a 6-month, full-time training program at various IRS centers. Each candidate then takes an 18-24 month developmental assignment.

CONTACT: Beverly McMillen (202) 622-6320

Secret Service: The CDP is a part-time, 2-year program. Candidates receive an initial managerial assessment at the Center for Creative Leadership. Candidates undergo at least two developmental assignments and training through such places as the Executive Seminar Centers, the Federal Executive Institute, and George Washington University.

CONTACT: Jean Parkinson-Irving (202) 435-7071

Customs Service: The CDP is designed to be completed within 6 months to 2 years. The program includes developmental and shadow assignments, orientation, and formal training classes. Candidates continue to occupy their official positions of record while in the CDP.

CONTACT: Shari Brown (202) 634-5989

VETERANS AFFAIRS

There are three candidate development program components at VA. Each is a part-time, 18-24 month program, offering activities designed to meet the candidate's individual needs as well as required program elements. Required program elements include orientation, leadership seminar, human resources seminar, and executive-level training experience. Individualized program activities can include details and rotational and mobility assignments; tailored work projects, studies, and analyses; task force, committee, understudy, and "shadow" assignments; and coaching by executives.

CONTACT: Ernestine Blakemore (202) 535-8723

APPENDIX C

SES CANDIDATE DEVELOPMENT PROGRAM
SUMMARY OF PERFORMANCE FACTORS

1. Integration of Internal and External Program-Policy Issues: Involves seeing that key national and departmentwide goals, priorities, values, and other issues are considered in making program decisions. Major competencies within this activity area are:

(1) Identifying and integrating key issues affecting the organization. These issues include political, economic, social, technological, and administrative factors.

(2) Working with and through the national policymaking-implementation structure and procedures (e.g., Presidential leadership and political positions, legislative processes, judicial review) and, as relevant, other governmental jurisdictions and private sector organizations.

2. Organizational Representation and Liaison: Focuses upon the external communications aspects of executive positions, including being a representative for the work unit and/or organization and coordinating with other work units and organizations. Major competencies within this activity area are:

(1) Representing (e.g., presenting, negotiating, selling, defending) the organization before a variety of people, including agency heads and other political and career executives, members and staff of Congress, the media, clientele, and professional groups.

(2) Working in groups and teams, conducting briefings and other meetings.

(3) Establishing and maintaining working relationships within the organization (e.g., with other program areas and staff support functions) and with relevant external groups and organizations.

(4) Seeing that reports, memorandums, and other documents reflect the position of the organization.

3. Direction and Guidance of Programs, Projects, or Policy Development: Involves activities related to establishing program-policy goals and the structure and processes necessary to carry them out. Major competencies within this activity area are:

(1) Planning-setting goals, objectives, and priorities; integrating short- and long-term goals; and identifying contingencies, strategies, and resource needs.

(2) Assessing program, policy, and project feasibility.

(3) Setting effectiveness, efficiency, and productivity standards.

(4) Organizing structure and work.

4. Acquisition and Administration of Financial and Material Resources: Concerns activities and procedures related to obtaining and allocating the financial and material resources necessary to support program or policy implementation. Major competencies within this activity area are:

- (1) Managing the budgetary process—preparing, justifying, operating through organizational and congressional procedures, and administering.
- (2) Overseeing procurement—contracting procedures and processes.
- (3) Directing—coordinating logistical operations.

5. Utilization of Human Resources: Involves activities and processes for ensuring that people are appropriately employed, effectively and efficiently utilized, developed, and dealt with in a fair and equitable manner. Major competencies within this activity area are:

- (1) Acquiring staff through appropriate staffing processes—work force planning, recruitment, and selection, including affirmative action and EEO.
- (2) Delegating work among subordinate groups and individuals.
- (3) Conducting performance appraisals and providing appropriate rewards and/or disciplinary action.
- (4) Assessing individual capabilities and needs and providing coaching, counseling, and career development opportunities.
- (5) Resolving conflicts and attending to morale and organizational climate issues.

6. Review of Implementation and Results: Involves activities and procedures for seeing that programs and policies are being implemented, adjusted as necessary, and that the appropriate results are being achieved. Major competencies within this activity area are:

- (1) Monitoring work status through formal and informal means.
- (2) Diagnosing and consulting on problem areas relating to implementation and goal achievement.
- (3) Evaluating technical and nontechnical program outcomes and impacts.
- (4) Assessing overall effectiveness, efficiency, and productivity of the organizational unit.

APPENDIX D

Applicant's Name: _____

APPLICATION

**UNITED STATES DEPARTMENT OF THE INTERIOR
SENIOR EXECUTIVE SERVICE
CANDIDATE DEVELOPMENT PROGRAM (SESCDP #7)
1993-94**

A. Please state your reasons for applying for SESCO #7. Include your short and long term career aspirations. Limit your statement to the space provided below.

Applicant's Name _____

SUPERVISORY APPRAISAL

**UNITED STATES DEPARTMENT OF THE INTERIOR
SENIOR EXECUTIVE SERVICE
CANDIDATE DEVELOPMENT PROGRAM (SESCDP #7)
1993-94**

INSTRUCTIONS:

Rate the applicant on a scale from "1" to "5" for each selection criterion based on his/her demonstrated potential to excel in this area of competence. A rating of "1" would indicate the applicant is weak in a particular criterion, a rating of "3" means satisfactory performance, and a "5" rating indicates outstanding performance. You should rate the candidate based on your first-hand knowledge and observations of demonstrated behavior.

1 _____ 2 _____ 3 _____ 4 _____ 5
Weak Satisfactory Outstanding

Please cite specific examples as the basis for each rating given. For example, if the candidate were given a "5" rating for the criterion "Organizational Representation and Liaison", the basis for the rating might be documented as follows:

- Annually since 1990, she has been selected by the American Management Association to make 1-2 hour presentations on the Management of Natural Resources for which she has received wide acclaim from participants as well as AMA - Serves as Division's spokesperson in making budget presentations to the Director's Office, Department and OMB - Serves as guest lecturer at State University

Applicant's Name: _____

B. The following 6 selection criteria reflect the executive competencies which the Office of Personnel Management requires for appointment to the SES. Please draw on your accomplishments to describe your potential to excel in each; list specific examples of past performance and educational achievements.

1. **Integration of internal and external program/policy issues:** The applicant's involvement in seeing that key national and agency-wide goals, priorities, values, and other issues are taken into account in carrying out the responsibilities of the immediate work unit.

2. **Organizational Representation and Liaison:** Including functions related to establishing and maintaining interaction with key individuals and groups outside the immediate work unit and serving as spokesperson for the unit and organization.

Applicant's Name: _____

3. Direction and Guidance of Programs, Projects, or Policy Development: Including activities related to establishing goals and the structure and process necessary to carry them out.

4. Acquisition and Administration of Financial and Material Resources: Including activities and procedures related to obtaining and allocating financial and material resources necessary to support program or policy implementation such as preparing and justifying budgets; overseeing procurement; coordinating logistical operations.

Applicant's Name: _____

5. Utilization of Human Resources: Including processes and activities to employ and manage staff fairly and equitably such as staffing processes, workforce planning, delegating, addressing Equal Employment Opportunity concerns, resolving conflict and attending to morale and organizational climate issues.

6. Review of Implementation and Results: Including activities and procedures used to implement and/or adjust, as necessary, to ensure that the appropriate results are achieved.

I understand that, although placement in an SES position is not guaranteed, by applying for this program I am declaring my willingness to accept assignment to an SES position located anywhere within the United States.

Signature

Date

APPENDIX E

**NOMINEE'S BIOGRAPHICAL SUMMARY
SENIOR EXECUTIVE SERVICE CANDIDATE DEVELOPMENT PROGRAM
1993-94**

Name	Organization	Date
------	--------------	------

Office Telephone Number

Home Mailing Address

1. Work Experience: (Begin with most recent position)

<u>Dates</u>	<u>Title</u>	<u>Grade/Salary</u>
--------------	--------------	---------------------

2. Education:

3. Major Career Accomplishments:

4. Miscellaneous:
(e.g., Awards, Professional Memberships, etc.)

Applicant's Name _____

Rating

_____ 1. **Integration of internal and external program/policy issues:** The applicant's involvement in seeing that key national and agency-wide goals, priorities, values, and other issues are taken into account in carrying out the responsibilities of the immediate work unit.

Examples:

_____ 2. **Organizational Representation and Liaison:** Including functions related to establishing and maintaining interaction with key individuals and groups outside the immediate work unit and serving as spokesperson for the unit and organization.

Examples:

_____ 3. **Direction and Guidance of Programs, Projects, or Policy Development:** Including activities related to establishing goals and the structure and process necessary to carry them out.

Examples:

Applicant's Name: _____

Rating

_____ 4. **Acquisition and Administration of Financial and Material Resources:** Including activities and procedures related to obtaining and allocating financial and material resources necessary to support program or policy implementation such as preparing and justifying budgets; overseeing procurement; coordinating logistical operations.

Examples:

_____ 5. **Utilization of Human Resources:** Including processes and activities to employ and manage staff fairly and equitably such as staffing processes, workforce planning, delegating, addressing Equal Employment Opportunity concerns, resolving conflict and attending to morale and organizational climate issues.

Examples:

_____ 6. **Review of Implementation and Results:** Including activities and procedures used to implement and/or adjust, as necessary, to ensure that the appropriate results are achieved.

Examples:

Supervisor's Name & Title

Date of Appraisal

Signature

Dates Supervised:
From: To:

APPENDIX F

ETA SES CANDIDATE DEVELOPMENT PROGRAM
Panel Rating Sheet

Applicant Name

- ____ 1. Knowledge of employment and training programs. (20 points)
- ____ 2. Ability to generate imaginative solutions in work situations and to recognize and accept imaginative solutions from other individuals. (10 points)
- ____ 3. Ability to assume personal responsibility for planning and implementation of employment and training programs. (10 points)
- ____ 4. Ability to coordinate and/or direct project-oriented assignments to be accomplished through the work of others. (20 points)
- ____ 5. Ability to communicate thoughts and ideas orally and in writing and to maintain effective working relationships with peers, subordinates, superiors, and other Government and non-Government personnel who can assist in mission accomplishment. (10 points)
- ____ 6. Ability to implement equal opportunity and ensure fair treatment. (10 points)

____ TOTAL

APPENDIX G

UNITED STATES DEPARTMENT OF THE INTERIOR
SES CANDIDATE INDIVIDUAL DEVELOPMENT PLAN (IDP)

A

Name:

B

Social Security Number:

1

Developmental Objective

2

Developmental Activity

EXECUTIVE/MANAGERIAL OBJECTIVES

Integration of Internal and External
Program Policy Issues

Organizational Representation and Liaison

Direction and Guidance of Programs, Projects
or Policy Development

C Target Position:	B Date of IDP:
-------------------------------------	---------------------------------

3 Schedule of Dates	4 Cost Estimates	5 Date Completed	6 Evaluation	7 Remarks

SES CANDIDATE INDIVIDUAL DEVELOPMENT PLAN (IDP)-continued

A

Name:

1 Developmental Objective	2 Developmental Activity
<p>EXECUTIVE/MANAGERIAL OBJECTIVES</p> <p><u>Acquisition and Administration of Financial and Material Resources</u></p> <p><u>Utilization of Human Resources</u></p> <p><u>Review of Implementation and Results</u></p>	

--

3 Schedule of Dates	4 Cost Estimates	5 Date Completed	6 Evaluation	7 Remarks

SES CANDIDATE INDIVIDUAL DEVELOPMENT PLAN (IDP)-continued

A

Name: _____

1

Developmental Objective

2

Developmental Activity

TECHNICAL/PROFESSIONAL OBJECTIVES

E

APPROVALS

Candidate _____

Supervisor _____

Bureau/Office Development Coordinator _____

Mentor _____

Departmental Development Coordinator _____

Executive Resources Board Chairperson _____

F

Revisions or Other Addendum Remarks:

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3 Schedule of Dates	4 Cost Estimates	5 Date Completed	6 Evaluation	7 Remarks

DATES	REMARKS
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

G

CERTIFICATION OF SUCCESSFUL COMPLETION OF PLAN

I certify that _____ has successfully completed all individual and group development activities of the SES Candidate Program. I recommend the Qualifications Review Board certify his/her qualifications for the Senior Executive Service.

_____ (Signature of ERB Chairperson) _____ (Date)

OPM APPROVED TRAINING PROGRAMS SENIOR EXECUTIVE SERVICE CANDIDATE DEVELOPMENT PROGRAM		
PROGRAM INFORMATION	DESCRIPTION	COMPETENCIES
<p>EXECUTIVE DEVELOPMENT PROGRAM</p> <p>Vendor: Executive Seminar Centers, OPM</p> <p>Point-of-Contact: See your servicing training office.</p> <p>Tuition: Tuition is \$1,975 and includes lodging and meals.</p> <p>Program Dates:</p> <p>Oct. 28 - Nov. 8, 1991 (Kings Point, NY) Dec. 10 - Dec. 20, 1991 (Denver, CO) Jan. 6 - Jan. 17, 1992 (Kings Point, NY) Jan. 6 - Jan. 17, 1992 (Denver, CO) Jan. 21 - Jan. 31, 1992 (Oak Ridge, TN, 2 sessions) Feb. 3 - Feb. 14, 1992 (Denver, CO) Mar. 2 - Mar. 13, 1992 (Denver, CO) Mar. 30 - Apr. 10, 1992 (Denver, CO) Mar. 30 - Apr. 10, 1992 (Lancaster, PA) Apr. 27 - May 8, 1992 (Denver, CO) May 4 - May 15, 1992 (Oak Ridge, TN, 2 sessions) May 4 - May 15, 1992 (Kings Point, NY) May 11 - May 22, 1992 (Denver, CO) May 26 - June 5, 1992 (Denver, CO) Jul. 6 - Jul. 17, 1992 (Denver, CO) Jul. 20 - Jul. 31, 1992 (Oak Ridge, TN, 2 sessions) Aug. 3 - Aug. 14, 1992 (Denver, CO) Aug. 24 - Sep. 4, 1992 (Kings Point, NY)</p> <p>Application Due Date:</p> <p>Note: FY 1992 nominations have been sent to the Department.</p>	<p>The two-week residential Executive Development Seminar provides a working knowledge of executive roles in government and helps participants develop, practice and expand their executive leadership skills. It enables participants to examine alternative views on the role of the public sector and their implications for executive management, to develop a clearer understanding of the profession and discipline of managements for career executives in such areas as policy development and implementation and external relationships, to improve the capacity for managing through systems in large organizations, and to understand better the need for developing accountability in an organization.</p>	<p>All 6 Executive Activity Areas.</p>

OPM APPROVED TRAINING PROGRAMS		
SENIOR EXECUTIVE SERVICE CANDIDATE DEVELOPMENT PROGRAM		
PROGRAM INFORMATION	DESCRIPTION	COMPETENCIES
<p>LEADERSHIP FOR A DEMOCRATIC SOCIETY</p> <p>Vendor:</p> <p>U.S. Office of Personnel Management The Federal Executive Institute 1301 Emmet Street Charlottesville, VA 22907-1050</p> <p>Point-of-Contact:</p> <p>See your servicing training office.</p> <p>Tuition:</p> <p>Tuition is \$6,300.</p> <p>Program Date:</p> <p>Oct. 6-Nov. 1, 1991 (Program 180) Nov. 17-Dec. 13, 1991 (Program 181) Jan. 5-Jan. 31, 1992 (Program 182) Feb. 9-Mar. 6, 1992 (Program 183) Mar. 15-Apr. 10, 1992 (Program 184) Apr. 26-May 22, 1992 (Program 185) May 31-June 26, 1992 (Program 186) Jul. 12-Aug. 7, 1992 (Program 187) Aug. 23-Sep. 18, 1992 (Program 188)</p> <p>Application Due Date:</p> <p>Note: FY 1992 nominations have been sent to the Department.</p>	<p>The Leadership for a Democratic Society is a four-week residential executive development program offered by FEI in Charlottesville, Virginia. The program emphasizes a performance based approach to individual development and leadership in the Federal context. The Week One core program introduces fundamental themes and the analytical framework for synthesizing the environmental, organizational and individual aspects of leadership. The week includes problem solving sessions, examination of our core constitutional values, and individual performance analysis in small, broad based "Leadership Development Teams." In weeks two, three, and four, participants take individual courses focused on their individual performance goals and learning agendas. These goals and the cumulative program experience are synthesized in the final week by presentations of group projects, review of personal workbooks and preparation of action plans for implementation in participants' individual programs and agencies.</p>	<p>All 6 Executive Activity Areas</p>

Division of Development and Training Management, September 1991

OPM APPROVED TRAINING PROGRAMS SENIOR EXECUTIVE SERVICE CANDIDATE DEVELOPMENT PROGRAM		
PROGRAM INFORMATION	DESCRIPTION	COMPETENCIES
<p>WASHINGTON EXECUTIVE SEMINAR</p> <p>Vendor: U.S. Office of Personnel Management Human Resources Development Group P.O. Box 164 Washington, DC 20044 Attention: WES Telephone: (202) 632-3282, FTS 632-3282; FAX (202) 632-5531</p> <p>Point-of-Contact: See your servicing training office.</p> <p>Tuition: Tuition is \$2,100.</p> <p>Program Dates: September 19-October 2, 1991 February 3-14, 1992 May 4-15, 1992 July 13-24, 1992 September 14-25, 1992</p> <p>Application Due Date: Nominations are due two weeks prior to the start of the program.</p>	<p>The Washington Executive Seminar is a 2-week non-residential seminar offered in Washington, D.C., and covers the following topics:</p> <p>The leadership challenges of the public sector executive; Policy presentation skills and dealing with the media; The Congressional hearing process; Dealing with interest groups; Career/political interface; The changing environment of the public executive; and Policy and Administration initiatives.</p> <p>Case studies, small group discussions, and videotaping with group and individual feedback are used.</p> <p>Seminar time is divided between a conveniently located site in downtown Washington, D.C. and Capitol Hill.</p> <p>Note: Participants may cover all six Executive Activity Areas by completing the Washington Executive Seminar and the four SES Candidate Development Program Quarterly Seminars (see below).</p>	<p>I. Integration of Internal and External Program and Policy Issues</p> <p>II. Organizational Representation and Liaison</p>

<p>SESCDP QUARTERLY SEMINARS</p> <p>Vendor: SES Candidate Development Program Federal Executive Institute - Washington, D.C. U.S. Office of Personnel Management P.O. Box 164 Washington, D.C. 20044 Telephone: (202) 632-3282</p> <p>Point-of-Contact: See your servicing training office.</p> <p>Tuition: Tuition is \$525.</p> <p>Program Dates: Oct. 28-30, 1991 (Administering Money and Material Resources) Nov. 18-20, 1991 (Strategic Planning and Executive Leadership) Dec. 16-18, 1991 (Utilizing Human Resources) Jan. 27-29, 1992 (Reviewing Implementation and Results) Mar. 23-25, 1992 (Strategic Planning and Executive Leadership) Apr. 6-8, 1992 (Administering Money and Material Resources) Apr. 27-29, 1992 (Utilizing Human Resources) May 11-13, 1992 (Strategic Planning and Executive Leadership) Jun. 1-3, 1992 (Reviewing Implementation and Results) Jun. 22-24, 1992 (Utilizing Human Resources) Jul. 27-29, 1992 (Administering Money and Material Resources) Aug. 31-Sep. 2, 1992 (Utilizing Human Resources) Sep. 14-16, 1992 (Strategic Planning and Executive Leadership) Sep. 21-23, 1992 (Reviewing Implementation and Results)</p> <p>Application Due Date: Nominations are due two weeks prior to the start of the program.</p>	<p>Each 3-day seminar covers one Executive Activity Area. (These 3-day seminars <u>do not</u> meet OPM requirements for an approved training program. However, they may be used to supplement the "Washington Executive Seminar" or other programs.)</p>	<p>III. Direction and Guidance of Programs, Projects, or Policy Development</p> <p>IV. Acquisition and Administration of Financial and Material Resources</p> <p>V. Utilization of Human Resources</p> <p>VI. Review of Implementation and Results</p>
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OPM APPROVED TRAINING PROGRAMS SENIOR EXECUTIVE SERVICE CANDIDATE DEVELOPMENT PROGRAM		COMPETENCIES
PROGRAM INFORMATION	DESCRIPTION	
<p>CONTEMPORARY EXECUTIVE DEVELOPMENT</p> <p>Vendor: Office of Professional Development School of Business and Public Management George Washington University</p> <p>Point-of-Contact: Cynthia Lester, Program Manager The George Washington University Office of Professional Development 2020 K Street, N.W., Suite 230 Washington, D.C. 20052 Telephone: (202) 994-5219; FAX (202) 994-5225</p> <p>Tuition: Tuition of \$2,995 includes all meals, materials, and cost of the retreat.</p> <p>Program Dates: Fall 1991 Session: October 1 - November 8, 1991 Winter 1992 Session: January 21 - February 27, 1992 Spring 1992 Session: March 24 - May 1, 1992</p> <p>Application Due Dates: Applications are due by September 9, 1991 for Fall Session; December 20, 1991 for Winter Session; and March 2, 1992 for Spring Session.</p>	<p>The six-week nonresidential Contemporary Executive Development program emphasizes Leadership - learning the process of strategic planning and the importance of strategic thinking, understanding and managing today's world of constant change, developing a personal leadership philosophy through exposure to both academic and practical leadership models, and understanding the unique challenges of public management; <u>Self-Awareness</u> - assessment of personal styles of leadership, ethics, creativity and critical thinking, and the process of complex decision making; <u>People Side of Management</u> - managing the increasingly diverse work force, creating, and managing a supportive organizational climate, and integrating the direction-setting process and team building. Participants are exposed to both theories and models as well as hands-on problem-solving exercises. The program includes group activities, case studies, individual presentations, lectures, video tapes, and computer simulations.</p> <p>Participants earn nine Continuing Education Units.</p>	<p>All 6 Executive Activity Areas</p>

Division of Development and Training Management, September, 1991

OPM APPROVED TRAINING PROGRAMS SENIOR EXECUTIVE SERVICE CANDIDATE DEVELOPMENT PROGRAM		
PROGRAM INFORMATION	DESCRIPTION	COMPETENCIES
<p>KEY EXECUTIVE PROGRAM</p> <p>Vendor: School of Public Affairs The American University</p> <p>Point-of-Contact: Nina Allen Key Executive Program Ward Circle Building, Room 309 School of Public Affairs The American University Washington, D.C. 20016-8070 Telephone: (202) 885-3857</p> <p>Tuition: The tuition of \$18,648 includes books and materials.</p> <p>Program Date: September 1991 - May 1993</p> <p>Application Due: Note: Nomination deadline has passed; program has already started.</p>	<p>The program consists of 12 courses (36 Credit Hours) taken over a 20-month period; courses are taught at The American University on Fridays and Saturdays; participants remain on the job while completing their degree program, gain important knowledge from a distinguished faculty and fellow managers representing a cross section of government agencies, analyze contemporary issues in government management, and receive a Master of Public Administration degree.</p> <p>The courses taught are:</p> <ul style="list-style-type: none"> Leadership and Career Development Executive Management Budgeting and Financial Management Public Managerial Economics Personnel Management and Ethics Executive Problem Solving Conflict Resolution Politics, Policy Making, and Public Administration Legal Issues in Public Administration Executive Skill Modules Analysis and Evaluation Capstone Symposium on Executive Management 	<p>All 6 Executive Activity Areas:</p>

OPM APPROVED TRAINING PROGRAMS SENIOR EXECUTIVE SERVICE CANDIDATE DEVELOPMENT PROGRAM		
PROGRAM INFORMATION	DESCRIPTION	COMPETENCIES
<p>PROGRAM FOR SENIOR EXECUTIVE FELLOWS</p> <p>Vendor: John F. Kennedy School of Government Harvard University</p> <p>Point-of-Contact: Elizabeth C. Nill Director, Senior Executive Fellows Program John F. Kennedy School of Government 79 John F. Kennedy Street Cambridge, MA 02138 Telephone: (617) 495-1165</p> <p>Tuition: The tuition of \$15,500 includes room and board. All meals are provided Monday through Thursday, and breakfast and lunch are held on Fridays and on those Saturdays when classes are during scheduled recesses.</p> <p>Program Date: September 22 - November 15, 1991</p> <p>Application Due Date: Note: Nomination deadline has passed.</p>	<p>The eight-week residential Senior Executive Fellows program curriculum includes the following areas of management responsibility: Strategy and Political Management - discussion of the tools available for influencing and/or controlling the behavior and performance of entities outside the manager's own agency and examines strategic interaction with staff, peers, and supervisors, elected and appointed officials, and the press and citizen groups; Policy Analysis and Design - investigates the process of developing and evaluating policy alternatives for achieving goals, including the role of quantitative methods and statistics, and focuses on the ways that non-technical executives can manage analytical work; <u>Mobilizing Organizational Capacity</u> - consideration of options for improving productivity, using information, and more effectively managing human resources. Topical readings, lectures, panels, videotapings, and special exercises augment the case studies and daily discussion groups.</p> <p>The Senior Executive Fellows Program requires full-time attendance and residence on campus. There are three classes a day, Monday through Friday, with occasional Saturday morning classes as well.</p> <p>Tuition does not include personal services such as laundry or parking.</p>	<p>All 6 Executive Activity Areas;</p>

Division of Development and Training Management, September 1991

OPM APPROVED TRAINING PROGRAMS SENIOR EXECUTIVE SERVICE CANDIDATE DEVELOPMENT PROGRAM		
PROGRAM INFORMATION	DESCRIPTION	COMPETENCIES
<p>SENIOR EXECUTIVE SEMINAR</p> <p>Vendor: Carnegie Mellon School of Urban and Public Affairs Carnegie Mellon University</p> <p>Point-of-Contact: Deborah G. Conaini/Renita Boyer, Director of Executive Education Senior Executive Seminar School of Urban and Public Affairs Carnegie Mellon University 500 Forbes Avenue Pittsburgh, Pennsylvania 15213-3880 Telephone: (412) 268-6082/6113; FAX (412) 268-7036</p> <p>Tuition: The tuition of \$6,200 includes advance readings sent to participants, leads, cases, meals, and lodging. Participants must cover travel, telephone, parking and laundry expenses.</p> <p>Program Date: May 26 - June 12, 1992</p> <p>Application Due Date: Applications are encouraged by April 13, 1992; applications received after that date will be considered if space is available.</p>	<p>The two and one-half week residential Senior Executive Seminar integrates lectures, discussions, case and project presentations, practical work and meetings with leaders from academia, business, government and research institutes. Participants will understand the political, social, economic, and technological changes that will affect their planning; incorporate modern management concepts and analytic techniques in their work for more efficient planning, coordination and control; see the implications of human behavior in organizations and develop effective, feasible leadership skills; communicate more effectively in formal and informal meetings with colleagues, clients, reporters, and the public; and use the personal computer as a management tool.</p> <p>The curriculum is divided into the following six sections: Political, Economic, and Technological Environment; Strategy Development and Implementation; Performance Review and Program Evaluation; Management of Human Resources; Acquisition/Administration of Financial and Material Resources; and Communications.</p> <p>Participants earn six Continuing Education Units.</p>	<p>All 6 Executive Activity Areas:</p>

Division of Development and Training Management, September 1991

VITAE

Amporn Wangkajornwuttisak was born on December 14, 1962 in Saraburi, Thailand. She received her Bachelor Degree in Political Science with first class honors, majoring in Public Administration, from Thammasat University, Thailand in 1983. She then joined the Faculty of Political Science, Thammasat University. In May 1987, she completed all the requirements for the Master of Arts in Public Administration (M.A.P.A.) at Northern Illinois University, DeKalb, Illinois. After working as a lecturer at Thammasat University for two years, she went to pursue the Doctor of Philosophy Degree in Public Administration at Virginia Polytechnic Institute and State University in August 1989 and completed the degree in March 1994. While doing her doctoral degree, she worked as a Graduate Assistant at the Center for Public Administration and Policy at the university. She will resume an academic position at the Faculty of Political Science, Thammasat University when she returns to Thailand.

Amporn Wangkajornwuttisak