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Appendix A:

U.S. Office of Personnel Management Senior Executive Service
Executive Core Qualifications

The law requires that the executive qualifications of each new career appointee to the Senior Executive Service (SES) be certified by an independent Qualifications Review Board based on criteria established by the Office of Personnel Management. The Executive Core Qualifications (ECQs) describe the leadership skills needed to succeed in the SES; they also reinforce the concept of an "SES corporate culture." This concept holds that the Government needs executives who can provide strategic leadership and whose commitment to public policy and administration transcends their commitment to a specific agency mission or an individual profession. Executives with a "corporate" view of Government share values that are grounded in the fundamental Government ideals of the Constitution: they embrace the dynamics of American Democracy, an approach to governance that provides a continuing vehicle for change within the Federal Government.

OPM has identified five fundamental executive qualifications. The ECQs were designed to assess executive experience and potential—not technical expertise. They measure whether an individual has the broad executive skills needed to succeed in a variety of SES positions—not whether they are the most superior candidate for a particular position. (This later determination is made by the employing agency.)

Successful performance in the SES requires competence in each ECQ. The ECQs are interdependent; successful executives bring all five to bear when providing service to the Nation.

The basic definition for each ECQ is supplemented by Key Characteristics, which reflect possession of the executive qualification, and those Leadership Competencies which are particularly important to it. Candidates do not need to have experience in each Key Characteristic to demonstrate possession of the ECQ. Rather, the candidate's overall record (professional and volunteer experience, education and training, awards, accomplishments, and potential) should indicate that they have the knowledge, skills, and abilities needed to succeed in the SES.

Based on extensive research of government and private sector executives, the Leadership Competencies are the personal and professional attributes which underpin the ECQs. By demonstrating possession of an ECQ, a candidate also demonstrates possession of its underlying competencies. Candidates need not address these competencies in their qualifications write-ups. However, experience and training that strengthen these competencies will enhance a candidate's overall qualifications for the SES.

Beginning January 1, 1998, announcements of individual Senior Executive Service (SES) vacancies and SES Candidate Development Programs (CDP's) include the updated ECQ's. Go to USAJOBS for information on SES and CDP opportunities. The Guide to Senior Executive Service Qualifications provides detailed information about executive qualifications and how to complete an SES application.

The web pages of the Federal Executive Institute and Management Development Centers have information on the developmental programs offered to enhance the leadership skills of Government executives and managers.

You may email questions concerning the ECQ's and the Guide to seshelp@opm.gov.

ECQ 1 LEADING CHANGE

This core qualification encompasses the ability to develop and implement an organizational vision which integrates key national and program goals, priorities, values, and other factors. Inherent to it is the ability to balance change and continuity—to continually strive to improve customer service and program performance within the basic Government framework, to create a work environment that encourages creative thinking, and to maintain focus, intensity and persistence, even under adversity.

Key Characteristics:

(a)	Exercising leadership and motivating managers to incorporate vision, strategic planning, and elements of quality management into the full range of the organization's activities; encouraging creative thinking and innovation; influencing others toward a spirit of service; designing and implementing new or cutting edge programs/processes.
(b)	Identifying and integrating key issues affecting the organization, including political, economic, social, technological, and administrative factors.
(c)	Understanding the roles and relationships of the components of the national policy making and implementation process, including the President, political appointees, Congress, the judiciary, state and local governments, and interest groups; and formulating effective strategies to balance those interests consistent with the business of the organization.
(d)	Being open to change and new information; tolerating ambiguity; adapting behavior and work methods in response to new information, changing conditions, or unexpected obstacles; adjusting rapidly to new situations warranting attention and resolution.
(e)	Displaying a high level of initiative, effort, and commitment to public service; being proactive and achievement-oriented; being self-motivated; pursuing self-development; seeking feedback from others and opportunities to master new knowledge.
(f)	Dealing effectively with pressure; maintaining focus and intensity and remaining persistent, even under adversity; recovering quickly from setbacks.

Leadership Competencies

Creativity & Innovation	Resilience
Continual Learning	Service Motivation
External Awareness	Strategic Thinking
Flexibility	Vision

ECQ 2 LEADING PEOPLE

This core qualification involves the ability to design and implement strategies which maximize employee potential and foster high ethical standards in meeting the organization's vision, mission, and goals.

Key Characteristics:

(a)	Providing leadership in setting the workforce's expected performance levels commensurate with the organization's strategic objectives; inspiring, motivating, and guiding others toward goal accomplishment; empowering people by sharing power and authority.
(b)	Promoting quality through effective use of the organization's performance management system (e.g., establishing performance standards, appraising staff accomplishments using the developed standards, and taking action to reward, counsel, or remove employees, as appropriate).
(c)	Valuing cultural diversity and other differences; fostering an environment where people who are culturally diverse can work together cooperatively and effectively in achieving organizational goals.
(d)	Assessing employees' unique developmental needs and providing developmental opportunities which maximize employees' capabilities and contribute to the achievement of organizational goals; developing leadership in others through coaching and mentoring.
(e)	Fostering commitment, team spirit, pride, trust, and group identity; taking steps to prevent situations that could result in unpleasant confrontations.
(f)	Resolving conflicts in a positive and constructive manner; this includes promoting labor/management partnerships and dealing effectively with employee relations matters, attending to morale and organizational climate issues, handling administrative, labor management, and EEO issues, and taking disciplinary actions when other means have not been successful.

Leadership Competencies

Conflict Management	Integrity/Honesty
Cultural Awareness	Team Building

ECQ 3 RESULTS DRIVEN

This core qualification stresses accountability and continuous improvement. It includes the ability to make timely and effective decisions and produce results through strategic planning and the implementation and evaluation of programs and policies.

Key Characteristics:

(a)	Understanding and appropriately applying procedures, requirements, regulations, and policies related to specialized expertise; understanding linkages between administrative competencies and mission needs; keeping current on issues, practices, and procedures in technical areas.
(b)	Stressing results by formulating strategic program plans which assess policy/program feasibility and include realistic short- and long-term goals and objectives.
(c)	Exercising good judgment in structuring and organizing work and setting priorities;

	balancing the interests of clients and readily readjusting priorities to respond to customer demands.
(d)	Anticipating and identifying, diagnosing, and consulting on potential or actual problem areas relating to program implementation and goal achievement; selecting from alternative courses of corrective action, and taking action from developed contingency plans.
(e)	Setting program standards; holding self and others accountable for achieving these standards; acting decisively to modify them to promote customer service and/or the quality of programs and policies.
(f)	Identifying opportunities to develop and market new products and services within or outside of the organization; taking risks to pursue a recognized benefit or advantage.

Leadership Competencies

Accountability	Entrepreneurship
Customer Service	Problem Solving
Decisiveness	Technical Credibility

ECQ 4 BUSINESS ACUMEN

This core qualification involves the ability to acquire and administer human, financial, material, and information resources in a manner which instills public trust and accomplishes the organization's mission, and to use new technology to enhance decision making.

Key Characteristics:

(a)	Assessing current and future staffing needs based on organizational goals and budget realities. Applying merit principles to develop, select, and manage a diverse workforce.
(b)	Overseeing the allocation of financial resources; identifying cost-effective approaches; establishing and assuring the use of internal controls for financial systems.
(c)	Managing the budgetary process, including preparing and justifying a budget and operating the budget under organizational and Congressional procedures; understanding the marketing expertise necessary to ensure appropriate funding levels.
(d)	Overseeing procurement and contracting procedures and processes.
(e)	Integrating and coordinating logistical operations
(f)	Ensuring the efficient and cost-effective development and utilization of management information systems and other technological resources that meet the organization's needs; understanding the impact of technological changes on the organization.

Leadership Competencies

Financial Management	Technology Management
Human Resources Management	

ECQ 5 BUILDING COALITIONS/COMMUNICATION

This core qualification involves the ability to explain, advocate and express facts and ideas in a convincing manner, and negotiate with individuals and groups internally and externally. It also involves the ability to develop an expansive professional network with other organizations, and to identify the internal and external politics that impact the work of the organization.

Key Characteristics:

(a)	Representing and speaking for the organizational unit and its work (e.g., presenting, explaining, selling, defining, and negotiating) to those within and outside the office (e.g., agency heads and other Government executives; corporate executives; Office of Management and Budget officials; Congressional members and staff; the media; clientele and professional groups); making clear and convincing oral presentations to individuals and groups; listening effectively and clarifying information; facilitating an open exchange of ideas.
(b)	Establishing and maintaining working relationships with internal organizational units (e.g., other program areas and staff support functions); approaching each problem situation with a clear perception of organizational and political reality; using contacts to build and strengthen internal support bases; getting understanding and support from higher level management.
(c)	Developing and enhancing alliances with external groups (e.g., other agencies or firms, state and local governments, Congress, and clientele groups); engaging in cross-functional activities; finding common ground with a widening range of stakeholders.
(d)	Working in groups and teams; conducting briefings and other meetings; gaining cooperation from others to obtain information and accomplish goals; facilitating "win-win" situations.
(e)	Considering and responding appropriately to the needs, feelings, and capabilities of different people in different situations; is tactful and treats others with respect.
(f)	Seeing that reports, memoranda, and other documents reflect the position and work of the organization in a clear, convincing, and organized manner.

Leadership Competencies

Influencing/Negotiating	Partnering
Interpersonal Skills	Political Savvy
Oral Communication	Written Communication

Appendix B:

Informed Consent Form

INFORMED CONSENT

Doctoral Dissertation Research
Karen Anne Carleton
Virginia Polytechnic Institute and State University

Dissertation Title: *Laying The Foundation For Strategic Leaders: A Grounded Theory Of Civilian Leadership Development In The U. S. Department Of Defense*

I. Purpose of Project

The three-fold purpose of this dissertation is to compile existing knowledge of civilian leadership development, add to the body of knowledge with the data and analysis from this study; and finally, to build a model which facilitates the process of educating civilian leaders in the U.S. Department of Defense.

In order to gather her data, the researcher will interview individuals from two groups: DoD employees currently serving in SES positions who have been identified as exemplars, and a group of senior DoD executives. At the conclusion of the interview process, members of these groups will be invited to participate in a decision-making session whereby the findings will ranked and scaled to determine their importance in leadership development. From the data and the results of this session, a conceptual model of DoD civilian leadership development, in the form of a process or change model, will be developed.

II. Confidentiality Statement

A. The subjects' interviews will be tape recorded and all of the information will remain confidential and anonymous. All identifying information, i.e., names of the interviewees, locations of work or organizations, and events, will be excised from the document.

B. The researcher is the only person who will listen to the tapes, and she will transcribe all of the tapes herself. Her analysis will be based on the information in the transcripts. Once transcribed, the original tapes will be kept under lock and key in the researcher's residence; she will be the only person with access to the tapes.

C. The tapes will be kept beyond the completion of the dissertation for purposes of verification and in the event there is a need to continue or expand the research. Once that has been accomplished, the tapes will be erased.

D. The subjects will be given the final version of the analysis that pertains to their center to verify accuracy and to protect their rights. The subjects may correct the record at any time, including names or events. In addition, the subjects may withdraw at any time without any penalty.

III. Subject's Permission

I have read and understand the Informed Consent and conditions of this project. I have had all my questions answered. I hereby acknowledge the above and give my voluntary consent for participation in this project.

I understand that I may withdraw at any time without penalty.

_____   _____
Signature   Date

Should I have any questions about this research or its conduct, I may contact:

_____   Phone: h) 703/440-4036; w) 703/696-7179
Karen A. Carleton, Investigator   E-mail: h) carletonk@hotmail.com
                                                                              w) carletka@osd.pentagon.mil

_____   Phone: 703/538-8492
Marvin G. Cline, Ph.D.   E-mail: mcline@vt.edu
Departmental Institutional Review Board Officer
Virginia Polytechnic and State University

_____   Phone: 540/231-1835
David M. Moore, DVM   E-mail: moored@vt.edu
Institutional Review Board Chair
Virginia Polytechnic and State University

Appendix C:

Memos on Coding Evolution: Project EUREKA

#1 PASS

All level one at this point. Ended up with balance, credible, culture, diplomat, ECQ, enjoyment, experience, hands-on, hurdles, integrity, mentor, mobility, people, personal, refmil, risking, role-model, sl-traits, stamina, stretch, student, succession, tagged, understand, validate, and values.

As I was going through the first pass, both people and enjoyment seemed like codes I needed to go back to the beginning, look for, and mark.

Other codes like refmil, hurdles, diplomat, personal, and ECQ were underused or no longer seemed important. I decided to remove those or rename them.

Student and understand should be combined.

#2 PASS

Second pass on file. Make adjustments as noted in #1 Pass memo.

Went through code book, wrote definitions and organized codes. Chose experience, sl-traits, and student as parent codes. Deleted values code (only occurred once) and renamed role-model to student, since it talked about what she learned from watching role models.

Code families at this point:

Experience--balance, enjoyment, mentor, mobility, people, tagged.

SL-Traits--credible, culture, integrity, risking, stamina, stretch, succession.

Student--hands-on, validate.

#3 PASS

Third time through. Looked at grouping and how that works after the last changes.

Added memos to text where I'm curious about follow-up questions.

Re: #1 Pass
Code 1:   **Code 2**:   **Code 3**:

Type: Project Memo   **Category**:
Memo #: 1
Date Created: Oct 2, 2002 15:31   **By**: KC
Date Modified: Oct 2, 2002 16:46

All level one at this point. Ended up with balance,
credible, culture, diplomat, ECQ, enjoyment, experience,
hands-on, hurdles, integrity, mentor, mobility, people,
personal, refmil, risking, role-model, sl-traits, stamina,
stretch, student, succession,

As I was going through the first pass, both people and
enjoyment seemed like codes I needed to go back to the
beginning, look for, and mark.

Other codes like refmil, hurdles, diplomat, personal, and
ECQ were underused or no longer seemed important. I decided
to remove those or rename them.

Student and understand should be combined.

```
 1 ●Code Families
 2  ├──●EXPERIENCE
 3  │    ├──●BALANCE
 4  │    │    ├── PERSONAL
 5  │    │    └── PROFESSION
 6  │    ├── ENJOYMENT
 7  │    ├── MENTOR
 8  │    ├── MOBILITY
 9  │    ├── PEOPLE
10  │    └── TAGGED
11  ├──●SL-TRAITS
12  │    ├── CREDIBLE
13  │    ├── CULTURE
14  │    ├── INTEGRITY
15  │    ├── STAMINA
16  │    ├── STRETCH
17  │    └── SUCCESSION
18  └──●STUDENT
19       ├── HANDS-ON
20       └── VALIDATE
```
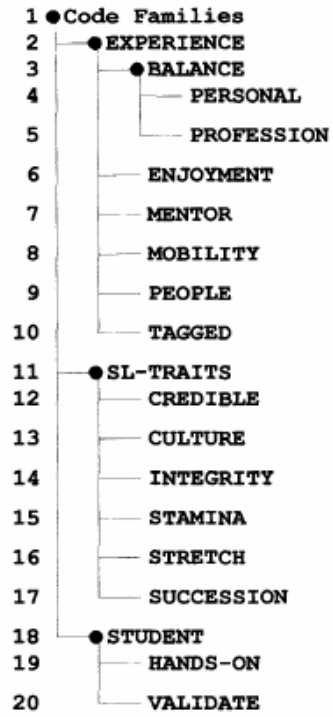
	Code Word	Parent	Text	Level	Added	Modified
2	EXPERIENCE	None	Yes	2	10/02/02	10/02/02

Her job and personal experiences.

	Code Word	Parent	Text	Level	Added	Modified
3	BALANCE	EXPERIENCE	Yes	3	10/02/02	10/02/02

Needs balance between work and outside life. Sees benefit in her life others have it in theirs. Admirable trait.

	Code Word	Parent	Text	Level	Added	Modified
4	PERSONAL	BALANCE		4	10/23/03	00/00/00

One's life outside of work: family, hobbies, fun, etc.

	Code Word	Parent	Text	Level	Added	Modified
5	PROFESSION	BALANCE		4	10/23/03	00/00/00

Job/career related

	Code Word	Parent	Text	Level	Added	Modified
6	ENJOYMENT	EXPERIENCE	Yes	3	10/02/02	10/02/02

Seems to be energized by and enjoy her work.

	Code Word	Parent	Text	Level	Added	Modified
7	MENTOR	EXPERIENCE	Yes	3	10/02/02	10/02/02

Mentors and her role as mentor to others.

	Code Word	Parent	Text	Level	Added	Modified
8	MOBILITY	EXPERIENCE	Yes	3	10/02/02	10/02/02

Movement, both in job-related assignments and changing to new positions

	Code Word	Parent	Text	Level	Added	Modified
9	PEOPLE	EXPERIENCE	Yes	3	10/02/02	10/02/02

Treatment by others and towards others.

	Code Word	Parent	Text	Level	Added	Modified
10	TAGGED	EXPERIENCE	Yes	3	10/02/02	10/02/02

Asked by leadership to take on new job challenge.

	Code Word	Parent	Text	Level	Added	Modified
11	SL-TRAITS	None	Yes	2	10/02/02	10/02/02

Strategic Leader traits or characteristics

	Code Word	Parent	Text	Level	Added	Modified
12	CREDIBLE	SL-TRAITS	Yes	3	10/02/02	10/02/02

Believable, to be trusted.

	Code Word	Parent	Text	Level	Added	Modified
13	CULTURE	SL-TRAITS	Yes	3	10/02/02	10/02/02

Need to know how to work within the culture you operate in to be effect

Appendix D:

Memos on Coding Evolution: Project DDSCHEM

Over the period of Sept – October 2003:

File Memo (Pass One)
Began a new project based on EUREKA to develop the coding scheme for dialectic dimensions. The three categories I started with are Balance, Energy, and Growth. For Balance: Personal and Professional are the dimensions. For Energy: Enjoyment (from Experience) and Stamina (from SL traits). For Growth (previously named Stretch): Mentor (from Experience) and Learner (previously named Student). The idea of the dialectic dimensions come from the yin yang dynamic apparent in the leader's behavior or approach to things. Dialectic means "the art or practice of arriving at the truth by the exchange of logical arguments" and seems to capture the ability of the leader to seem to "juggle" contradictions or pulls in the opposite directions.

File Memo (Pass Two)
Second pass since moving to new project and setting up initial dialectic dimensions. In this session the attempt was to review all codes that did not fit in the initial coding scheme and see if they belonged elsewhere or could be removed or renamed. File codes store information about actions taken in 2nd Pass. The File Memos 0001-0008 describe individual actions taken with specific codes that did not originally fit in the code set scheme. This ends the 2nd Pass on this Project.

File Memo (Pass Three)
This is the final pass before the codes are reviewed with Bert and Alice. Now that the code book, tree, and definitions are revised, the document will be reviewed to see if the scheme fits and identify other areas for coding.
- This initial code named Credible from Eureka seems to fit under the learner dimension of Growth and was moved accordingly.
- This code Experience from Eureka related to description of professional experience. It seemed to belong under the Balance code in the Professional dimension and was moved accordingly.
- Deleted code named Culture (from Eureka) because it only appeared twice at beginning interview discussion and the text seemed to better fit the Experience, Learner, and Profession codes.
- Integrity moved to Balance PersonalThis was a tough one to decide on. Originally a SL Trait in Eureka, in this scheme it appeared to fit better under Learning because the leader talks about admitting mistakes and having the courage to face them and take the necessary action to make course corrections. However, it is described as a personal quality, or characteristic so I decided to put it under Personal for now. Could it be this quality that helps maintain or strive for Balance?

- Mobility moved to Growth Learner. This code is also related to Profession and smacks of Stamina. However, it also strongly supports Growth as each new experience is a learning opportunity. For now, that is where it will go.
- This code named People from Eureka will have to be revised section by section throughout the interview. In some places it refers to learning from others, in others it talks about the enjoyment of others and belongs under Energy Enjoyment, and in some areas relates to Balance, both Personal and Professional. Will be looked at again in 3rd Pass.
- Tagged moved to Growth Mentor. This code from Eureka describes incidents where the leader was approached and asked to apply for a more challenging position. In each case, it was by someone who was familiar with their work and had faith that they would be successful.
- SL-Traits moved to Balance Professional. This last "hanging code" from 2nd Pass was the most interesting. At first, I wasn't sure where it belonged. Then, as I noted the passion and sincerity with which this leader spoke and the importance they placed on the description, I decided that these attributes must be part of what brings the balance in their lives, the ability to rise to challenges and be successful. I also thought that this leader must see themselves as having these attributes, because they seemed to place such value on them. There was also a lot of Energy in the way the discussion went, and I do wonder how much this plays on Stamina. That is worth following up with I think.

November 11, 2003:

- Printed text segments by code name and reviewed (by main tree branch).

- Only one reference to Energy – deleted after moving as noted below.
- Stamina is week as a description – codes seem irrelevant, delete
- Enjoyment is interesting – consider moving to learning and getting rid of this branch
- Completed 11/11/03 except moved stamina under professional

- Mentor codes are weak. Only one reference to succession, get rid of or rename. (moved succession to Professional 11/11/03). But Tagged is significant. Keep it in the scheme.

- Reviewed People codes again. Too all over the place – removed codes from data and book. Added back a code called Peopleskil under Personal and recoded file.

- Deleted Hands-on under Learner – not enough references

- Added Educate under Professional and CareerDev under Learner.

After Vet Day (11/11/03) meeting with Bert (see diagram for reference):
  Made SL-Traits a stand alone parent
  Moved Credible code under SL-Traits
  Renamed Mentor to Facilitator
  Redid Facilitator codes to indicate Mentoring (under facilitator) or Mentoring
Others (being mentored under Learner)
  Used MirrorChk instead of Validate
  Created new code called Capable under SL-Traits
  Mentoring reviewed. Changed to Beingmentr where appropriate.

```
 1 ●Code Families
 2   ├──●EXPERIENCE
 3   │   ├──●BALANCE
 4   │   │   ├──●PERSONAL
 5   │   │   │   ├──── ENJOYMENT
 6   │   │   │   ├──── INTEGRITY
 7   │   │   │   └──── PEOPLESKIL
 8   │   │   └──●PROFESSION
 9   │   │       ├──── EDUCATION
10   │   │       ├──── JOB EXPER
11   │   │       └──── STAMINA
12   │   └──●GROWTH
13   │       ├──●FACILITATR
14   │       │   ├──── CHECKING
15   │       │   ├──── MENTORING
16   │       │   └──── SUCCESSION
17   │       └──●LEARNER
18   │           ├──── BEINGMENTR
19   │           ├──── CAREERDEV
20   │           └──── MOBILITY
21   └──●SL-TRAITS
22       ├──── CAPABLE
23       ├──── CONSISTENT
24       └──── CREDIBLE
```

	Code Word	Parent	Text	Level	Added	Modified
2	EXPERIENCE	None	PAR	2	12/09/03	00/00/00

        Major theme -- tree

	Code Word	Parent	Text	Level	Added	Modified
3	BALANCE	EXPERIENCE	YES	3	10/27/03	12/09/03

        Dialectic dimension of balance -- from personal to professional life -- managing competing wants, pressures, and responsibilities.

	Code Word	Parent	Text	Level	Added	Modified
4	PERSONAL	BALANCE	YES	4	10/27/03	10/27/03

        Personal life aspects, such as family, hobbies, fun, etc.

	Code Word	Parent	Text	Level	Added	Modified
5	ENJOYMENT	PERSONAL	YES	5	10/27/03	11/11/03

        Enjoying life and work. Finding pleasure in accomplishment or people. proactive, optomistic, energized, seeing the glass half-full.

	Code Word	Parent	Text	Level	Added	Modified
6	INTEGRITY	PERSONAL	YES	5	10/27/03	10/27/03

        This code talks about integrity as a personal quality. It also is disc⸱ able to admit mistakes (vulnerability) and learn from them. In a way i⸱ personal courage.

	Code Word	Parent	Text	Level	Added	Modified
7	PEOPLESKIL	PERSONAL		5	11/11/03	00/00/00

        Good with people. The ability to network and build relationships.

	Code Word	Parent	Text	Level	Added	Modified
8	PROFESSION	BALANCE	YES	4	10/27/03	10/27/03

        Professional life aspects relating to the job at hand or future career ⸱

	Code Word	Parent	Text	Level	Added	Modified
9	EDUCATION	PROFESSION		5	11/11/03	00/00/00

        Formal Education

	Code Word	Parent	Text	Level	Added	Modified
10	JOB EXPER	PROFESSION	YES	5	10/27/03	12/09/03

        Related to professional experience described

	Code Word	Parent	Text	Level	Added	Modified
11	STAMINA	PROFESSION	YES	5	10/27/03	11/11/03

        Staying power, the ability to keep with a tough job and make it work. ⸱

	Code Word	Parent	Text	Level	Added	Modified
12	GROWTH	EXPERIENCE	YES	3	10/27/03	12/09/03

        Previously the "stretch" code because of the aspect of improving onesel⸱ self-development and the development of others. Now under SL-Traits bec⸱ foudational branch of the model. The whole picture is about growth and ⸱ overcoming professional challenges, finding a balance in it all.

13 FACILITATR   GROWTH   YES   4   10/27/03   01/19/04

   Giving guidance and sharing wisdom gained from experience with someone
   along, help them develop professionally.

14 CHECKING   FACILITATR   YES   5   10/27/03   12/29/03

   Learn by checking, looking for feedback, inquiry with a purpose towards
   Helping yourself by helping others make it work.

15 MENTORING   FACILITATR   5   11/11/03   00/00/00

   The act of doing for others to bring them along. Helping them progress
   looking out for developmental opportunities.

16 SUCCESSION   FACILITATR   YES   5   10/27/03   11/11/03

   Planning for someone to carry on the charge, make the organization succe
   others coming up behind you, make it happen for them as others did for
   Do unto others...

17 LEARNER   GROWTH   YES   4   10/27/03   10/27/03

   The act or ability to stop and question, look for answers, realize the
   or to be better prepared. Admitting humaness.

18 BEINGMENTR   LEARNER   5   11/11/03   00/00/00

   Being mentored. The opportunity to have someone else intervene to brin
   Tagged code changed) or encouraging you, looking out for you, giving ad

19 CAREERDEV   LEARNER   5   11/11/03   00/00/00

   Career development

20 MOBILITY   LEARNER   YES   5   10/27/03   10/27/03

   The moving between jobs, gaining new and varied experiences, bring on cl
   promote growth.

21 SL-TRAITS   None   YES   2   10/27/03   11/11/03

   These are descriptions of what a SL is like, the attributes that make tl
   them be able to handle the challenges they face. As of 11/11/03, these
   the model.

22 CAPABLE   SL-TRAITS   3   11/11/03   00/00/00

   Honing in on the essence of SL, partner to Credible as the ROOTS of the

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	Code Word	Parent	Text	Level	Added	Modified
23	CONSISTENT	SL-TRAITS		3	12/28/03	00/00/00

Not only what you say and do in one instance, but the carry through in :
areas of your life, other actions

	Code Word	Parent	Text	Level	Added	Modified
24	CREDIBLE	SL-TRAITS	YES	3	10/27/03	11/11/03

In the discussion, the leader talks about being believable through show:
what they have learned through professional training and/or experience.

Appendix E:

Memo on Coding Process in Crosswalk Project

Summary of Transition from DDSCHEME

In the CROSSWALK scheme, the concept of growth, along with learning and teaching, became underlying dynamics of how these leaders interact with and maintain a balance with their environment.

Balance became a separate overall category rather than parent to Personal and Professional. Personal was a major aspect of the new Advocate category, and an independent code under Awake. Enjoyment fell out as it only appeared twice in Leader 15 data. Integrity is an underlying aspect of all the categories, and is listed independently under Affirm. People-skill is another overarching code, but is listed under Advocate as People-wk. The second branch under Balance, Profession, also found its codes reorganized, where Education stands alone, Job-experience becoming simply Experience under Awake, along with Stamina in the same category.

As mentioned, Growth became an overarching category, standing alone. Its first branch, Facilitator had the codes for Mentoring and Succession subsumed under Advocate, while Checking was renamed and grouped with Feedback under Account. The second branch, Learner, became an overarching code standing alone. Being-mentored was renamed Mentee under Ask. Career-development (of others) went under Advocate, and Mobility under Awake.

The other major branch, for Strategic Leader Traits, had three categories: Capable, Consistent, and Credible. All three were subsumed under Affirm.

Pass 1

Open coding from LDR1 through LDR15 (10 total).
Regenerated a lot of the same codes, added new ones
Learned not to walk away and leave Ethnograph inactive (timeout), not to multi-task and run other programs, not to scroll too fast, exit in and out if coding doesn't work and restart PC if it locks up
Worked with concepts and looked for duplicate or similar codes
Developed 5 A schema
Related to reflection, growth, learning, teaching

Pass 2
Recoded group again, cleaning up and organizing codes
Organized codes by schema, looked for patterns
Ran frequencies to determine which codes to rename
    Changed EXPERTISE > CAPABLE
    Changed COGNITION > AWAKE
    Changed SELF-AWARE > AWAKE
Ran frequencies to determine which codes to delete
    Deleted Respect (1 occurrence)

Deleted Technology (1 occurrence)
Deleted Sage (0 occurrence)
Identified codes that might be important but there were not enough relevant data to support including in the analysis and recommended further research in those areas
Technology – not focused on, large variance in occurrence and views presented

Identified one code CANDOR that seemed like others but needed to be reviewed by occurrence. Found six occurrences (2-LDR9, 3-LDR10, 1 LDR15) renamed to ASK or ACCOUNT where appropriate, one deleted since it could be combined with second occurrence directly below (2 line gap).

Pass 3

Continued to check frequencies for child or independent codes to identify those codes that seemed like others but needed to be reviewed by occurrence.
Deleted due to low frequency: EMPATHY, ENABLE, PROFESSION, REWARDS, COMMITMENT, ENJOYMENT

NOTE: Because writing memos in Ethnograph proved cumbersome, for this project notes were taken in Word. Most notes consisted of summaries from meetings with both the dissertation chair, another coding student, and the research professor.

```
 1 ●Code Families
 2 ├─●AWAKE
 3 │    ●ACCOUNT
 4 │    │   ── FEEDBACK
 5 │    │   └── RESPONSIBL
 6 │    ●ADVOCATE
 7 │    │   ── CAREER-DEV
 8 │    │   ── CONCERN
 9 │    │   ── MENTOR
10 │    │   ── PEOPLE-WK
11 │    │   └── RECRUITER
12 │    ●AFFIRM
13 │    │   ── CAPABLE
14 │    │   ── CONSISTENT
15 │    │   ── CREDIBLE
16 │    │   ── INTEGRITY
17 │    │   └── TRUST
18 │    ●ALLY
19 │    │   ── MENTEE
20 │    │   └── RECRUITED
21 │    ── EXPERIENCE
22 │    ── HUMILITY
23 │    ── MOBILITY
24 │    ── REFLECTION
25 │    └── STAMINA
26 ── BALANCE
27 ── EDUCATION
28 ── GROWTH
29 ── LEARNER
30 ── Q1_SL DESC
31 ── Q2_DEVELOP
32 ── Q3_ECQS
33 └── TEACHER
```

113
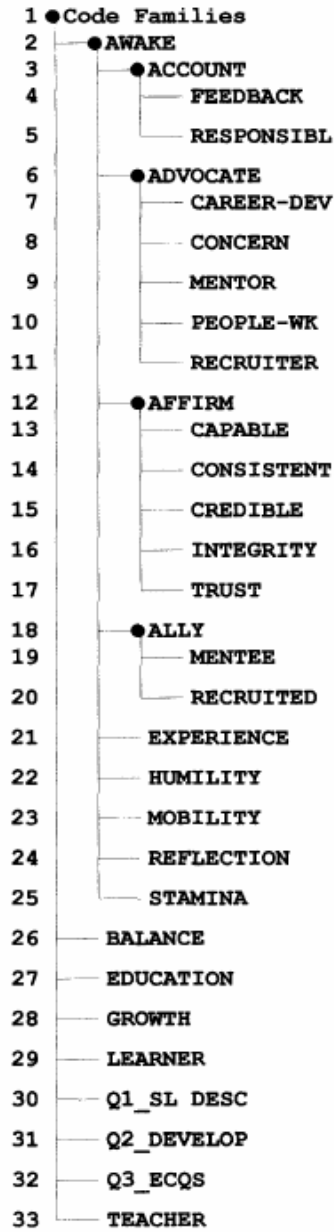
	Code Word	Parent	Text	Level	Added	Modified
2	AWAKE	None		2	04/10/04	04/10/04

Living consciously with awareness

	Code Word	Parent	Text	Level	Added	Modified
3	ACCOUNT	AWAKE		3	04/10/04	01/22/05

Being responsible for ones actions and errors

	Code Word	Parent	Text	Level	Added	Modified
4	FEEDBACK	ACCOUNT		4	04/04/04	04/10/04

Taking advantage of or seeking out information on how one is doing, que␣
right or try to improve, making sure you are handling your responsibili␣

	Code Word	Parent	Text	Level	Added	Modified
5	RESPONSIBL	ACCOUNT		4	04/10/04	00/00/00

Being responsible or accountable for oneself or others

	Code Word	Parent	Text	Level	Added	Modified
6	ADVOCATE	AWAKE		3	04/10/04	01/22/05

Speaking up for and helping others succeed and grow

	Code Word	Parent	Text	Level	Added	Modified
7	CAREER-DEV	ADVOCATE		4	03/14/04	04/10/04

Career development experience or opportunity

	Code Word	Parent	Text	Level	Added	Modified
8	CONCERN	ADVOCATE		4	03/14/04	04/10/04

Concern for others

	Code Word	Parent	Text	Level	Added	Modified
9	MENTOR	ADVOCATE		4	03/14/04	04/10/04

To serve as a trusted counselor or teacher to another person

	Code Word	Parent	Text	Level	Added	Modified
10	PEOPLE-WK	ADVOCATE		4	03/14/04	04/10/04

The talent of buiding and leveraging relationships; people skills, reco␣
of others, team building, knowing you can't work alone and be successfu␣

	Code Word	Parent	Text	Level	Added	Modified
11	RECRUITER	ADVOCATE		4	03/14/04	04/10/04

Seeking after others to bring them onto your team, personally or profes␣

	Code Word	Parent	Text	Level	Added	Modified
12	AFFIRM	AWAKE		3	04/10/04	01/22/05

Keeping ones word or agreements

	Code Word	Parent	Text	Level	Added	Modified
13	CAPABLE	AFFIRM		4	03/14/04	04/18/04

Having the ability required for a specific task or accomplishment; effi␣

14 CONSISTENT   AFFIRM   4   03/14/04   04/18/04

      Coherent, uniform pattern of behavior. Reliable and steady behavior.

15 CREDIBLE   AFFIRM   4   03/14/04   04/18/04

      Capable of being believed; plausible. Worthy of confidence; reliable.

16 INTEGRITY   AFFIRM   4   03/14/04   04/18/04

      Living/behaving consistenty according to high moral or ethical standard

17 TRUST   AFFIRM   4   04/04/04   04/18/04

      Being considered worthy of trust.

18 ALLY   AWAKE   3   04/10/04   01/22/05

      To unite or connect in a personal relationship, to enter into an allian
      association with another

19 MENTEE   ALLY   4   03/14/04   01/22/05

      Being served by a trusted counselor or teacher; one who is concerned fo
      professional growth

20 RECRUITED   ALLY   4   03/14/04   01/22/05

      Being sought after by others for positions or friendship

21 EXPERIENCE   AWAKE   3   03/14/04   04/10/04

      Having gone through something first hand, work or personal

22 HUMILITY   AWAKE   3   03/14/04   04/10/04

      The opposite of arrogant or prideful; modesty in behavior, attitude, or
      to "self"

23 MOBILITY   AWAKE   3   03/14/04   04/10/04

      The willingness to relocate to gain experience and widen perspective an
      understanding

24 REFLECTION   AWAKE   3   04/04/04   04/10/04

      Step back and think, integrate experience

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	Code Word	Parent	Text	Level	Added	Modified
25	STAMINA	AWAKE		3	03/14/04	04/10/04

Physical or moral strength to resist or withstand illness, fatigue, or l

| 26 | BALANCE | None | | 2 | 03/14/04 | 04/10/04 |

The process of working towards equilibrium

| 27 | EDUCATION | None | | 2 | 03/14/04 | 00/00/00 |

Formal education or training

| 28 | GROWTH | None | | 2 | 03/14/04 | 00/00/00 |

Development from one stage or level (current) to the next or higher leve

| 29 | LEARNER | None | | 2 | 03/14/04 | 04/10/04 |

Actions taken to allow for growth, to seek out knowledge and increased
welcome challenge and the unknown, a thirst for learning -- expanding a
increasing understanding

| 30 | Q1_SL DESC | None | | 2 | 04/30/04 | 03/30/05 |

Research question 1: How do strategic leaders for the federal governmen
leadership?

| 31 | Q2_DEVELOP | None | | 2 | 03/30/05 | 03/30/05 |

Research question 2: How do they explain the development of effective s

| 32 | Q3_ECQS | None | | 2 | 04/30/04 | 03/30/05 |

Research question 3: How do the described behaviors of SL compare to t
qualifications?

| 33 | TEACHER | None | PAR | 2 | 04/10/04 | 00/00/00 |

Being responsible for developing others by mentoring and guiding their