Executive Core Qualifications: 
Becoming an Effective Leader

Presenter: Cheryl Ndunguru
Senior Executive Resources and Performance Management, Training and Executive Development

A New Day for the Civil Service
Becoming an Effective Leader

Objectives:

- Recognize Executive Core Qualifications (ECQs) and Leadership Competencies
- Implement a Proactive Approach to Your Development

Questions and Answers
Executive Core Qualifications (ECQs) and Leadership Competencies
The ECQs describe the leadership skills needed to succeed in the SES and reinforce the concept of an “SES corporate culture”.

The ECQs are 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.

Through extensive research of the attributes of successful executives in both the private and public sectors.

A collaboration, reflecting the best thinking of many senior executives, thought leaders, and associations, as well as human resources professionals.
Executive Core Qualifications & Competencies

**ECQs**

- Leading Change
- Leading People
- Building Coalitions
- Results Driven
- Business Acumen

22 Competencies Specific to ECQs

6 Fundamental Competencies

United States Office of Personnel Management
Six Fundamental Competencies

- Interpersonal Skills
- Oral Communication
- Integrity/Honesty
- Written Communication
- Continual Learning
- Public Service Motivation

ECQs
ECQs

<table>
<thead>
<tr>
<th>Leading Change</th>
<th>Leading People</th>
<th>Results Driven</th>
<th>Business Acumen</th>
<th>Building Coalitions</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Definitions</strong></td>
<td><strong>Definitions</strong></td>
<td><strong>Definitions</strong></td>
<td><strong>Definitions</strong></td>
<td><strong>Definitions</strong></td>
</tr>
<tr>
<td>This core qualification involves the ability to bring about strategic change, both within and outside the organization, to meet organizational goals. Inherent to this ECQ is the ability to establish an organizational vision and to implement it in a continuously changing environment.</td>
<td>This core qualification involves the ability to lead people toward meeting the organization’s vision, mission, and goals. Inherent to this ECQ is the ability to provide an inclusive workplace that fosters the development of others, facilitates cooperation and teamwork, and supports constructive resolution of conflicts.</td>
<td>This core qualification involves the ability to meet organizational goals and customer expectations. Inherent to this ECQ is the ability to make decisions that produce high-quality results by applying technical knowledge, analyzing problems, and calculating risks.</td>
<td>This core qualification involves the ability to manage human, financial, and information resources strategically.</td>
<td>This core qualification involves the ability to build coalitions internally and with other Federal agencies, State and local governments, nonprofit and private sector organizations, foreign governments, or international organizations to achieve common goals.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Competencies</strong></th>
<th><strong>Competencies</strong></th>
<th><strong>Competencies</strong></th>
<th><strong>Competencies</strong></th>
<th><strong>Competencies</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Creativity and Innovation</strong></td>
<td><strong>Conflict Management</strong></td>
<td><strong>Accountability</strong></td>
<td><strong>Financial Management</strong></td>
<td><strong>Partnering</strong></td>
</tr>
<tr>
<td><strong>External Awareness</strong></td>
<td><strong>Leveraging Diversity</strong></td>
<td><strong>Customer Service</strong></td>
<td><strong>Human Capital Management</strong></td>
<td><strong>Political Savvy</strong></td>
</tr>
<tr>
<td><strong>Flexibility</strong></td>
<td><strong>Developing Others</strong></td>
<td><strong>Decisiveness</strong></td>
<td><strong>Entrepreneurship</strong></td>
<td><strong>Influencing/Negotiating</strong></td>
</tr>
<tr>
<td><strong>Resilience</strong></td>
<td></td>
<td><strong>Problem Solving</strong></td>
<td><strong>Technology Management</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Strategic Thinking</strong></td>
<td></td>
<td><strong>Technical Credibility</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Vision</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**United States Office of Personnel Management**
Proficiency Levels for Leadership Competencies

Level 1 - Awareness
- Applies the competency in the simplest situations
- Requires close and extensive guidance

Level 2 - Basic
- Applies the competency in somewhat difficult situations
- Requires frequent guidance

Level 3 - Intermediate
- Applies the competency in difficult situations
- Requires occasional guidance

Level 4 - Advanced
- Applies the competency in considerably difficult situations
- Generally requires little or no guidance

Level 5 - Expert
- Applies the competency in exceptionally difficult situations
- Serves as a key resource and advises others

UNITED STATES OFFICE OF PERSONNEL MANAGEMENT
Sweet Potato Pie
CCAR Model

Challenge
describe a specific problem or goal

Context
describe individuals and groups you worked with and/or environment in which you worked to address a challenge

Result
measures/outcomes that had some impact on the organization. This demonstrates the quality and effectiveness of leadership skills

Action
discuss specific actions you took to address the challenge
Leading Change - What should the focus be?

Questions to ask yourself when describing your experience

- What was my organizational vision?
- How did I transcend my vision into action? What initiative did I take?
- Did I strategically initiate and implement transformational change?
- How did I deal with unexpected organizational changes/obstacles and internal/external pressures?
- Did my vision achieve measurable results that impacted the organization?
Leading People - What should the focus be?

Questions to ask yourself when describing your experience

- What is the largest staff size I have led? What challenges did leading a large staff present?
- Was I leading versus managing?
- How did I lead my team through a challenge? How did I motivate them to achieve set goals?
- How did I contribute to the professional development of my employees (individually or as a team)?
- How did I deal with conflicts that arose within my team?
- How did I leverage diversity amongst my team (e.g., age, cultural, race, skill levels, perspectives)?
Results- Driven- What should the focus be?

Questions to ask yourself when describing your experience

- How did the priorities and objectives I set lead to high quality/quantity results?
- How did I address the needs of customers and stakeholders (internal and external)?
- How did my decisions and actions impact results?
- Did I identify problems and implement solutions that resulted in improving services?
Questions to ask yourself when describing your experience

- What is my experience in creating and administering budgets and resources?
- How did I procure and utilize resources? What obstacles did I face in doing this?
- What was the size of budget and resources I managed? How much money saved?
- What is my experience with a multi-sector workforce? Percentage of backlog eliminated/reduced? Length of processing time reduced?
- How did I utilize technology to create or improve programs?
Building Coalitions - What should the focus be?

Questions to ask yourself when describing your experience

- What groups/networks (internal and external) did I partner with to achieve a goal?
- How did I bring groups together? What challenges did I face doing that?
- What did I do to build coalitions?
Proactive Approach to Development
OPM’s Federal Supervisory Training Framework

**Aspiring Leader**
- **Team Leader**
  - Leadership Competencies
    - Team Building
    - Technical Credibility
    - Conflict Management
    - Problem Solving
    - Accountability
    - Decisiveness
  - Fundamental Leadership Competencies
    - Interpersonal Skills
    - Oral Communication
    - Integrity/Honesty
    - Written Communication
    - Continual Learning
    - Public Service Motivation

**New Supervisor First 3 Months**
  - Critical Transition*
    - HR-Related Technical Knowledge
      - Pay and Leave Policy
      - Time and Attendance
      - Prohibited Personnel Practices
      - Workplace Violence Prevention and Response
      - Telework Policy
      - Managing Information, Knowledge and Financial Management Systems
    - Recruitment and Selection
      - Hiring Reform
      - Merit System Principles
      - Category Rating
      - Interviewing Skills
      - Reasonable Accommodation
      - Background Investigations
    - Performance Management**
      - Conducting Performance Appraisals
      - Handling Unacceptable Performance
      - Mentoring Employees
      - Improving Employee Performance and Productivity

**New Supervisor First Year**
  - Leadership Competencies
    - Human Capital Management
    - Leveraging Diversity
    - Developing Others
    - Strategic Thinking
    - Conflict Management
    - Creativity and Innovation
    - Team Building
    - Customer Service
    - Financial Management
  - HR-Related Technical Knowledge
    - Employee & Labor Relations
    - Staffing & Classification
    - Federal Budget Process
    - Writing Position Descriptions
  - Talent Management
    - Promotions & Incentives
    - Workforce Planning
    - Employee Onboarding
    - Work-Life Balance
  - Performance Management
    - Providing Effective Feedback
    - Motivating & Engaging Employees
    - Holding Employees Accountable
    - Individual Development Plans
    - Mentoring & Coaching

**Mandatory Training**
- For All Employees (Supervisors, Managers, and SES)
  - No FEAR Act
  - Ethics Awareness
  - IT Security Awareness
  - Equal Employment Opportunity
  - Performance Management
  - Occupational Safety and Health
  - Plain Writing Act
- For Supervisors, Managers, and SES
  - USERRA
  - Veteran’s Employment
  - Occupational Safety and Health
  - Drug-Free Workplace
  - Employing Individuals with Disabilities
- Required by 5 CFR Part 412
  - Conducting Performance Appraisals
  - Handling Unacceptable Performance
  - Mentoring Employees

**Organizational Performance Management**
- Agency Performance Management Systems
- Aligning Performance Objectives with Agency Goals
- Aligning Office Goals with Agency Strategic Plan
Problem Solving
Developmental Tools and Resources

- Needs Assessments
- IDP
- 70-20-10 Model of Development
- SES Candidate Development Programs
- Executive Best Practices
- Networking
- OPM Leadership Development Matrix
Needs Assessment

- Recognizing the Need
- Formal Needs Assessments
  - 180 or 360 Assessment
- Informal Needs Assessments
  - Customer Feedback
  - Coaching and Mentoring
Individual Development Plan

- Purpose in this program
- Essential aspects of the IDP
70-20-10 Model of Development

How Development Plans are Commonly Written

Formal Training 70%
Learning from Others 20%
Job Experiences 10%

How Development Occurs

Formal Training 10%
Learning from Others 20%
Job Experiences 70%
### 70- 20-10 Developmental Activities

<table>
<thead>
<tr>
<th>70%</th>
<th>20%</th>
<th>10%</th>
</tr>
</thead>
<tbody>
<tr>
<td>- Challenging on-the-job assignments</td>
<td>- Mentors/role models</td>
<td>- Instructor led courses</td>
</tr>
<tr>
<td>- Job rotation programs</td>
<td>- Feedback, coaching</td>
<td>- E-Learning programs</td>
</tr>
<tr>
<td>- Mentoring others</td>
<td>- Visibility with key leaders</td>
<td>- Formal education programs</td>
</tr>
<tr>
<td>- Project teams/task forces</td>
<td>- Lead projects/teams</td>
<td>- Professional associations and/or certifications</td>
</tr>
<tr>
<td>- Conducting research</td>
<td></td>
<td>- Reading professional books, magazines or journals</td>
</tr>
<tr>
<td>- Tackling a start-up or “fix-it” issue in your area</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
SES Candidate Development Programs (SESCDP)

- OPM-approved training program designed to develop the executive qualifications of employees with strong executive potential to qualify them for an appointment into the SES
- SESCDPs are typically 12-24 months
- Open to all qualified individuals from within or outside the Federal Government, like SES positions; typically GS-14s/GS-15s or equivalent levels
- Address the ECQs
SESCDP Program Graduation Requirements

- Complete an Executive Development Plan, based on an individual needs assessment
- Participate in formal training of at least 80 hours that address the ECQs and include individuals from outside the candidate’s agency
- Participate in developmental assignments totaling at least 4 months of full-time service outside the candidate’s position of record
- Participate in a mentoring relationships with a member of the SES
Executive Best Practices Guide

- Contains a compilation of best practices used by the public and private sector to support the continued learning of executives.
- Information was gathered through an extensive literature review, and interviews with Fortune 500 companies and Federal agencies.
Networking Do’s & Don’ts

Networking is:

- Finding your community
- Developing long-term relationships
- Making introductions
- Looking for opportunities in new places
- Being thoughtful about which events to attend
- Being sincere to those you meet
- Remembering names and details about others

Networking is NOT:

- Finding someone with influence to pull strings
- Using others to get what you want
- Attending every single event possible
- Forcing someone to meet with you and help
- Providing false information about yourself
- Coming across as insincere or uninterested
Networking

- Cohort Events
- What else??
OPM Leadership Development Matrix

• Adapted from the draft OPM Effective Learning Interventions for Developing ECQs
• Highlights the most effective and targeted approach for developing each competency within the ECQs
OPM Leadership Development Matrix

- Five classes of leadership development interventions and activities
  - Instructor-led
  - Experiential activities
  - Developmental relationships
  - Assessments and feedback
  - Self-development
Leading Change

<table>
<thead>
<tr>
<th>ECQ Competency</th>
<th>Recommended Leadership Development Activities</th>
</tr>
</thead>
</table>
| **ECQ 1: Leading Change: Creativity and Innovation** | - Engage in *action learning* projects with leaders from different functional areas within the organization. Projects should focus on development of new ideas, policies, and other activities that require creative and innovative thinking. *Action learning* projects should include *feedback* mechanisms, and *mentoring*.
- Engage in a *developmental assignment* that entails such activities as brainstorming and refining new policies, leading a policy launch effort, assessing implications of new technologies on organizational processes, or turning around a failing policy or process. Such assignments should be paired with *feedback mechanisms* and *mentoring*. |
| **ECQ 1: Leading Change: Strategic Thinking** | - Engage in *developmental assignments* that involve setting new directions, working on strategic formulation projects, and leading change.
- Participate in a variety of strategically oriented *experiential exercises*, including (a) *active learning* projects that have a strategic focus; (b) *group dialogue* of strategic *case discussions*, and (c) *strategic business games* and *simulations*.
- Attend *courses* and *workshops* that provide models of strategic thinking, and pair these models with *experiential exercises*.
- Utilize a *mentor* who can guide the leader’s cognitive development of more strategic frames of reference. |
| **ECQ 1: Leading Change: Vision** | - Engage in *developmental assignments* that entail long term planning and development of new directions for the organization.
- Participate in team-based *workshops* comprised of *action learning* projects that create cross-functional exposure and include exercises aimed at future trends of the organization.
- Engage in *scenario planning* with team members to create a shared vision towards the future. |
The Uncanny Valley

Zombies
Dolls
Robots
Wax figures
Puppets
Clowns
**OPM Leadership Development Matrix**

**Fundamental Competencies**

<table>
<thead>
<tr>
<th>Fundamental competency: <strong>Integrity/Honesty</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>- Make use of learning partners and peer coaches to solicit feedback on written communications.</td>
</tr>
<tr>
<td>- Develop a mentor relationship with a senior employee early on in the leader’s career to serve as a role model for ethical conduct. This mentoring should be paired with a formalized organizational ‘code of ethics’ that clearly reinforces a climate of integrity.</td>
</tr>
<tr>
<td>- Attend a workshop that provides heuristics decision making tools for leaders to rely on in potentially challenging ethical situations on the job. These decision making tools will help guide appropriate action in times of uncertainty.</td>
</tr>
<tr>
<td>- Take a course or workshop that includes case-studies involving poor ethical conduct. The discussion should emphasize what the ethical failures are, potential causes for the behavior, and recommendations for what should have been done in that situation.</td>
</tr>
<tr>
<td>- Engage in a service learning project with an organization to enhance contact with and understanding of the community in which the organization exists.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Fundamental competency: ****</th>
</tr>
</thead>
<tbody>
<tr>
<td>- Engage in self-development skills training. This training should be two-fold—identifying skills that should be developed and</td>
</tr>
</tbody>
</table>
Valuable Resources

• **OPM Tools & Guidance** (*via OPM.gov*)
  • OPM Executive Development Best Practices Guide
  • OPM Supervisory Training Framework
  • OPM Proficiency Levels for Leadership Competencies
  • Guide to SES Qualifications

• **OPM Websites**
  • [www.opm.gov/ses](http://www.opm.gov/ses)
A New Day for the Civil Service

Q & A