

APPLYING EXECUTIVE CORE QUALIFICATIONS FOR EFFECTIVE ENTERPRISE LEADERSHIP IN THE FEDERAL GOVERNMENT

Developed For:

United States Office of Personnel Management (OPM)



Developed By:

ICF INTERNATIONAL





a New Day for Federal Service

Applying Executive Core Qualifications for Effective Enterprise Leadership in the Federal Government

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Course Purpose

- To engage you, as SES government leaders, in an immersive, highly interactive classroom experience that will challenge you to apply integrated ECQ leadership skills in complex and demanding situations, in innovative ways.
- To provide you with an opportunity to learn alongside fellow government leaders who represent a diverse mix of agencies and experiences and who will ultimately provide you with an on-going professional network.

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Course Learning Objectives

By the end of this course you should be able to...

- Describe the interdependencies of the five ECQs and how they affect decision making and advanced leadership skills.
- Apply ECQs to real-world scenarios in challenging and complex situations.
- Formulate advanced applications of the ECQs in order to build strategic partnerships across complex agency boundaries.

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Course Learning Objectives (cont'd)

By the end of this course you should be able to...

- Demonstrate behaviors that encourage and inspire others to cooperate, innovate, and work as a team.
- Create an action plan for leading your agency through difficult transitions.

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Course Agenda

8:00-8:30: Introduction

8:30-10:30: Module 1: Using the ECQ Competencies To Drive Success: A Real Life Application

10:30- 11:30: Module 2: Overcoming Leadership Challenges by Exemplifying the ECQs

11:30-12:30: Lunch

12:30- 1:30: Module 2 continued

1:30-3:30: Module 3: Tools to Support ECQs

3:30- 4:00: Module 4: Pulling it All Together

4:00-4:30: Wrap Up

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Logistics

- Two official breaks – morning and afternoon
- Feel free to request additional breaks
- 1 hour lunch break
- Move around as much as you want

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Ground Rules

- Silence your cell/smartphone
- Take all calls outside of the room
- Focus on what is most beneficial for the people in the class
- No idea is a bad idea
- Stay on schedule
- Allow everyone an opportunity to speak and be heard
- Respect confidentiality
- Others...?

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Self-Introduction

- In small table groups, introduce yourselves to your neighbors.
 - Give your name, professional title, organization, years in Federal Service, and years as a leader.
 - State one thing you enjoy about being a leader.

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Start to think about...

- A challenging, real-world scenario you are currently facing (or have faced in the past).
- Make a note and put it aside for later.
- If you cannot think of anything now, keep considering it during the day and make a note.

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Ice Breaker: "Job Disclosure"

- Individually, take 5 minutes to respond to the following questions on your worksheet:
 - What would make my leadership role easier?
 - What makes my leadership role more difficult?
- After 5 minutes, pair off with a neighbor and share your responses.

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Module #1

Using the ECQ Competencies To Drive Success: A Real Life Application

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Activity #1: ECQ Matrix

- **Purpose:** To assess the relationships between the ECQs in order to understand how they combine to produce effective leadership behaviors.
- **Directions:**
 - In groups, using your worksheet, take 10 minutes to identify the competencies that best relate to one another.
 - Discuss how these clusters of competencies can impact leadership behaviors and decision making.
 - Be prepared to debrief with the rest of the class.

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Activity #2: Case Study (Part I)

- **Purpose:** To experience a robust example of the ECQs in action.
- **Directions:**
 - Read the case study pages 2-4 (then STOP).

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Activity #2: Case Study (Part II)

- **Directions (continued):**
 - Read each challenge and write down brief points on the advantages and drawbacks.
 - Answer the question on your own by circling the letter of the response you would have performed.
 - Discuss the rationale for your choices within your groups. Based on your discussion, try to come to a consensus on one best response.

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Activity #3: Overcoming Final Objections

- **Purpose:** To explore leadership behaviors that help you navigate unexpected resistance.
- **Directions:**
 - Read “Overcoming Final Objections.”
 - In groups, answer the following questions...
 - What types of situations have you encountered in your agency that remind you of this case?
 - How did you handle these situations?
 - What went well?
 - What would you do differently next time?

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Module #2

Overcoming Leadership Challenges by Exemplifying the ECQs

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Activity #4: Applying Lessons Learned

- **Purpose:** To apply the ECQs and lessons learned from the case study into challenging new environments.
- **Directions:**
 - The facilitator will assign each group a scenario:
 - Conflicting Agendas
 - Priority and Goals
 - Splitting Departments
 - Each table group will read their scenario and answer the questions provided.
 - Write your responses on a chart page and be prepared to briefly provide a summary of your scenarios.

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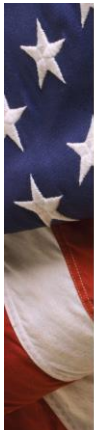


Activity #4: Debrief

Debrief Questions:

- What are some common leadership approaches that you heard across the groups?
- What are the top 3 ECQs that would help you be successful in all of these scenarios?
 - Leading People
 - Leading Change
 - Results Driven
 - Building Coalitions
 - Business Acumen

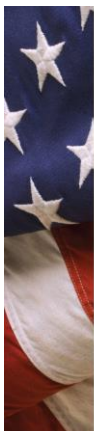
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Module #3

Tools that Support Application of the ECQs

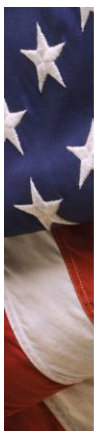
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Tools that Support Application of the ECQs

- Thomas-Kilmann Conflict Model
- Peter Vaill's Six Factors of Change
- Daniel Pink's Concepts of Motivation
- Components of Creativity

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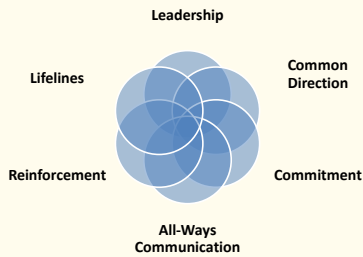
Managing Conflict while Encouraging Cooperation



From Thomas-Kilmann Conflict Mode Instrument by K. W. Thomas and R. H. Kilmann, 1974, 2000. Palo Alto, CA: Xicom, Incorporated, subsidiary of CPP, Inc. Copyright 1974, 2000 by CPP, Inc.



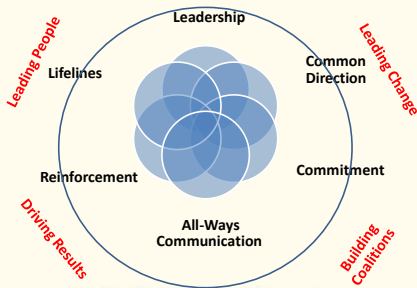
Vaill's Six Factors of Change



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Relationship of Vaill's Change Factors to the ECQs



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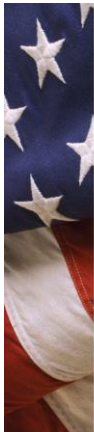


Human Motivation

- What we know and assume about human motivation may be counterproductive to effectively leading people.



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Leveraging Motivation to Improve Leadership Effectiveness

- How can you use...
 - Mastery
 - Autonomy
 - Purpose
- ...to engage employees during times of difficult change?

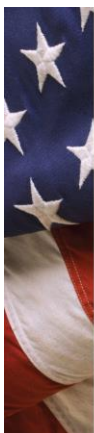
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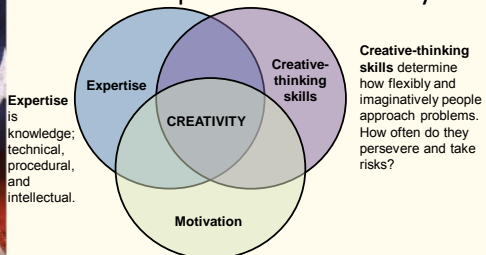
Creativity and Innovation Defined

- How do you define creativity?
- How is innovation different than creativity?
- What are some examples in which creativity and innovation have helped you to solve leadership challenges?
- How do you create an environment for your employee where creativity and innovation flourish?

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Three Components of Creativity



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- T. Amabile



Activity #5: Choose a Model

- **Purpose:** To apply the tools we just reviewed to our own leadership challenges.
- **Directions:**
 - Consider the 4 tools/models we just discussed.
 - Thomas-Kilmann Conflict Model
 - Peter Vaill's Six Factors of Change
 - Daniel Pink's Concepts of Motivation
 - Components of Creativity
 - Select one and discuss how it could be used in your organization to help you be a more effective leader.

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Module #4

Pulling It All Together

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Activity #6: Leading Through Change in the Real World

- **Purpose:** To construct practical leadership approaches that participants will apply back in their agencies.
- **Directions:**
 - In your groups, individually each think of a challenging, real-world situation which you are facing.
 - Tell your group about the situation (in 2 minutes or less).
 - Specifically describe why this situation makes it difficult to lead staff effectively.
 - After everyone has described their situation, vote on the challenge to work on.
 - As a group, discuss novel ways of leading others through this situation.
 - Be sure to draw on what you have learned during this course and to frame your discussion within the context of the ECQs.

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Activity #7: Note to Self

- **Purpose:** To increase the probability that participants will follow-up on their intended actions.
- **Directions:**
 - Write a quick letter to yourself that reminds you of what you hope to accomplish in the next 3 months, using the information you have learned in this class.
 - Address the envelope to yourself. We will mail it to you in 3 months.

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Asking...



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...Answering



Homework: Action Planning

- Select a challenging leadership scenario you are currently facing.
- Review the questions in the worksheet.
- Create action steps and dates you will achieve these steps by.

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Thank you!

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ECQ Matrix Activity

Activity Purpose: To understand the inter-relationship between the ECQ competencies and how they support one another.

Activity Directions: Review the ECQ sub-competencies below. Enter a checkmark if the competency along the top row is required for the successful performance of the competency in the left column. If there are any competencies you are not familiar with, see the definitions on the following pages. As an example the first competency, Accountability, has already been completed. Remember, there are no correct answers and there may be multiple correct answers.

	1. Accountability	2. Conflict Management	3. Creativity & Innovation	4. Customer Service	5. Decisiveness	6. Developing Others	7. Entrepreneurship	8. External Awareness	9. Financial Management	10. Flexibility	11. Human Capital Management	12. Influencing/ Negotiating	13. Leveraging Diversity	14. Partnering	15. Political Savvy	16. Problem Solving	17. Resilience	18. Strategic Thinking	19. Team Building	20. Technical Credibility	21. Technology Management	22. Vision	
1. Accountability	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a
2. Conflict Management	✓	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a
3. Creativity & Innovation	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a
4. Customer Service	✓	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a
5. Decisiveness	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a
6. Developing Others	✓	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a
7. Entrepreneurship	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a
8. External Awareness	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a
9. Financial Management	✓	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a
10. Flexibility	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a
11. Human Capital Management	✓	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a
12. Influencing/ Negotiating	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a
13. Leveraging Diversity	✓	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a
14. Partnering	✓	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a
15. Political Savvy	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a
16. Problem Solving	✓	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a
17. Resilience	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a
18. Strategic Thinking	✓	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a
19. Team Building	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a
20. Technical Credibility	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a
21. Technology Management	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a
22. Vision	✓	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a

ECQ Supporting Competency Definitions

1. **Accountability** - Holds self and others accountable for measurable high-quality, timely, and cost-effective results. Determines objectives, sets priorities, and delegates work. Accepts responsibility for mistakes. Complies with established control systems and rules.
2. **Conflict Management** - Encourages creative tension and differences of opinions. Anticipates and takes steps to prevent counter-productive confrontations. Manages and resolves conflicts and disagreements in a constructive manner.
3. **Creativity and Innovation** - Develops new insights into situations; questions conventional approaches; encourages new ideas and innovations; designs and implements new or cutting edge programs/processes.
4. **Customer Service** - Anticipates and meets the needs of both internal and external customers. Delivers high-quality products and services; is committed to continuous improvement.
5. **Decisiveness** - Makes well-informed, effective, and timely decisions, even when data are limited or solutions produce unpleasant consequences; perceives the impact and implications of decisions.
6. **Developing Others** - Develops the ability of others to perform and contribute to the organization by providing ongoing feedback and by providing opportunities to learn through formal and informal methods.
7. **Entrepreneurship** - Positions the organization for future success by identifying new opportunities; builds the organization by developing or improving products or services. Takes calculated risks to accomplish organizational objectives.
8. **External Awareness** - Understands and keeps up-to-date on local, national, and international policies and trends that affect the organization and shape stakeholders' views; is aware of the organization's impact on the external environment.
9. **Financial Management** - Understands the organization's financial processes. Prepares, justifies, and administers the program budget. Oversees procurement and contracting to achieve desired results. Monitors expenditures and uses cost-benefit thinking to set priorities.
10. **Flexibility** - Is open to change and new information; rapidly adapts to new information, changing conditions, or unexpected obstacles.
11. **Human Capital Management** - Builds and manages workforce based on organizational goals, budget considerations, and staffing needs. Ensures that employees are appropriately recruited, selected, appraised, and rewarded; takes action to address performance problems. Manages a multi-sector workforce and a variety of work situations.
12. **Influencing/Negotiating** - Persuades others; builds consensus through give and take; gains cooperation from others to obtain information and accomplish goals.
13. **Leveraging Diversity** - Fosters an inclusive workplace where diversity and individual differences are valued and leveraged to achieve the vision and mission of the organization.
14. **Partnering** - Develops networks and builds alliances; collaborates across boundaries to build strategic relationships and achieve common goals.
15. **Political Savvy** - Identifies the internal and external politics that impact the work of the organization. Perceives organizational and political reality and acts accordingly.
16. **Problem Solving** - Identifies and analyzes problems; weighs relevance and accuracy of information; generates and evaluates alternative solutions; makes recommendations.
17. **Resilience** - Deals effectively with pressure; remains optimistic and persistent, even under adversity. Recovers quickly from setbacks.
18. **Strategic Thinking** - Formulates objectives and priorities, and implements plans consistent with the long-term interests of the organization in a global environment. Capitalizes on opportunities and manages risks.

- 19. Team Building** - Inspires and fosters team commitment, spirit, pride, and trust. Facilitates cooperation and motivates team members to accomplish group goals.
- 20. Technical Credibility** - Understands and appropriately applies principles, procedures, requirements, regulations, and policies related to specialized expertise.
- 21. Technology Management** - Keeps up-to-date on technological developments. Makes effective use of technology to achieve results. Ensures access to and security of technology systems.
- 22. Vision** - Takes a long-term view and builds a shared vision with others; acts as a catalyst for organizational change. Influences others to translate vision into action.

USING LEADERSHIP SKILLS TO PRODUCE A LEADERSHIP APPRAISAL SYSTEM: A CASE STUDY

Developed For:

United States Office of Personnel Management (OPM)



Developed By:

ICF INTERNATIONAL



SES Course Activity: Situational Judgment Questions

Purpose: The purpose of this exercise is to experience a robust example of the ECQs in action. There is no one correct answer, and most questions have multiple effective solutions. Responses involve using a combination of ECQ skills.

Instructions: Read each challenge and write down brief points on the advantages and drawbacks of each option. Next, answer the question on your own by circling the letter of the response you would have performed. Finally, discuss the rationale for your choices within your groups. Based on your discussion, try to come to a consensus on one best response. Record the group decision.

Using Leadership Skills to Produce a Leadership Appraisal System: Overcoming Final Objections

While the successful completion of a project against stated goals and measurements is critical, the second phase of a project requires similar effort and calculated tactics. Mr. Leadership was met with the challenge of keeping the working group participants involved, post-content creation, and igniting their sense of commitment to seeing the project through to the implementation and adoption of the system by agencies.

Ms. Pamela Participant was on the design team working on improving the definitions of the SES competencies. As she was completing her responsibilities, she began to truly understand the impact of the changes and the potential benefits. She then called a meeting with her supervisor, who was the Chief Human Capital Officer (CHCO) at her agency. She showed him the progress that was being made and explained the expected value of adopting the new system. Once back in the working group, she explained how she was able to effectively persuade her CHCO to promote the system and to even share her excitement about it. Hearing this, Mr. Leadership encouraged participants to go back to their agencies and endorse the system in order to build champions, generate recognition from fellow executives about the system, and facilitate the eventual implementation. Mr. Leadership also continuously identified opportunities to showcase Ms. Participant and her agency's commitment at speaking engagements and other events to demonstrate the conviction and success of Ms. Participant's agency in implementing the new system. Mr. Leadership also relied upon the champions of the effort to persuade and to provide technical assistance to other agencies considering implementation of the new system. Mr. Leadership further commissioned subsequent small teams from the larger working group to develop materials on communications and implementation for the use of all agencies implementing the new system. Additionally, Mr. Leadership and his staff offered and regularly provided assistance through speeches, presentations, trainings, and technical support to implementing agencies. Finally, Mr. Leadership continued to engage key stakeholders at all levels and continued to implement a marketing strategy, providing information and visibility on the success of the new system to the public, members of Congress, senior agency leaders, senior executives at each agency, and human resources practitioners.

As the working group was getting closer to their deadline, they appeared to be making progress against their goals. At the conclusion of the second to last meeting, the group had very positive results from the smaller working groups. Mr. Leadership told the group the end was in sight and he could envision the positive impacts the work would have on government leadership. At the last meeting, however, close to their final deadline, things seemed to go off course. Mr. Saboteur began to openly criticize the new system, even though he had not privately expressed any concerns to Mr. Leadership. He surfaced old issues that had been previously resolved by the working group. Before long, other group members began questioning the decisions that had been previously made. Mr. Leadership used all of his leadership skills to try and get the meeting back on track, but ultimately had to admit defeat and ended the final meeting without being able to accomplish the end goal. He expressed disappointment but also

proudly complimented the working group on the significant and important work the group had accomplished in an exceptionally collaborative and effective manner; the group had come very close but could not reach agreement on a number of final key decisions. Mr. Leadership recommended holding one final conference call to summarize the work and decisions completed by the group and to memorialize the progress made by the group. The intent of the conference call was to simply summarize the accomplishments of the team (e.g., lessons learned, data gathered for future use, high level of collaboration, etc.) and close the project out.

After the group adjourned, Mr. Contributor and Ms. Participant separately approached Mr. Leadership. They each informed Mr. Leadership that his sincere admission of relative failure in front of the group was remarkable because many of the group's members had been convinced Mr. Leadership intended all along to unilaterally choose and push a solution irrespective of the group's input or support for a solution. Mr. Leadership's genuine focus on the interagency partnership and collaboration energized Mr. Contributor and Ms. Participant, who felt their commitment to the successful outcome of the project exponentially multiplied.

Following this feedback, Mr. Leadership decided to give the project one last shot. He organized conference calls with individual group members to enlist and renew their commitment. He also created a structured agenda for the final group conference to ensure an efficient and constructive discussion on the final decisions the group had not been able to resolve.

During the final conference call an amazing thing happened. To his great surprise, Mr. Leadership found that the group had galvanized and demonstrated a stronger commitment than ever to achieving a solution and the completion of the project. One by one, the remaining decisions and details of the project were resolved by the group. The group members demonstrated tremendous passion and enthusiasm, and engaged each other in substantive constructive discussion over issues that had previously generated great dissension and division. Group members felt heard while the group as a whole selflessly maintained an unwavering focus on the larger interests of the entire Federal Government. The group members achieved actual consensus – an amazing outcome with generally over 30 individuals in the room at every meeting, including this final conference call – on every major element of the new performance appraisal system. This consensus outcome further reflected the commitment of the group members to decisions and solutions reflecting and supporting the success of the entire government, while group members understood the approach was not necessarily the preferred direction of any individual agency. Ultimately, each working group member, including Mr. Saboteur, realized the benefits the new system would bring to each agency and to every SES member, and collaboratively applied their individual expertise and perspectives to create a standard solution for the entire Federal Government.

Action Planning

Activity Directions

- Think of a leadership challenge you are facing at work. You may use the challenge from Activity 6, whether it was chosen or not, or you may use a different challenge.
- Review the leadership competencies covered in this course and identify the ones you think will be key for addressing your challenge.
- Next, think of the primary barriers you will face as you address the situation and note them in the space provided.
- Review and respond to each of the key questions provided by indicating specific actions you will take. Indicate by when you will have these actions completed. An example has been provided to get you started.
- When you are finished, find a partner and discuss your responses.

What is your challenge? <i>Describe in a few sentences the problem you are facing.</i>	
What key competencies will you apply?	
What barriers will you face?	

Key Questions	Specific Actions	Due by:
<p>How will you influence others and motivate others to participate actively?</p>	<ul style="list-style-type: none"> • <i>Example: Request Mr. X to be a champion for the project.</i> 	<ul style="list-style-type: none"> • <i>Within 30 days</i>
<p>How will you advocate for this change?</p>	<ul style="list-style-type: none"> • <i>Example: Encourage staff to share suggestions and formulate solutions.</i> 	<ul style="list-style-type: none"> • <i>Ongoing</i>

<p>How will you secure and maintain commitment from agencies with varying levels of power and influence?</p>	<ul style="list-style-type: none"> • <i>Example: Work to understand and address the concerns of powerful stakeholders.</i> 	<ul style="list-style-type: none"> • <i>Within 1 week of project start</i>
<p>How will you enlist the support of other leaders to help spearhead and promote the initiative?</p>	<ul style="list-style-type: none"> • <i>Example: Identify well-respected individuals to promote the project.</i> 	<ul style="list-style-type: none"> • <i>Within 30 days</i>

<p>How will you ensure positive, constructive conversation about the project and its objectives?</p>	<ul style="list-style-type: none"> • <i>Example: Converse privately with dissenters to understand their motivations.</i> 	<ul style="list-style-type: none"> • <i>Within one week of demonstrated dissent</i>
<p>How will you ensure engagement and commitment to project meetings?</p>	<ul style="list-style-type: none"> • <i>Example: Express the distinction of representing an organization at project meetings.</i> 	<ul style="list-style-type: none"> • <i>At first project meeting</i>

How will you foster collaboration?

- *Example: Divide the working group into smaller teams.*

- *At first project meeting*