



**Departmental Supervisory, Management and Executive Training Policy  
Handbook 455.1**

U.S. Department of Housing and Urban Development (HUD)  
Office of the Chief Human Capital Officer (OCHCO)  
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## 1. Overview

### 1.1. Purpose

This policy outlines the regulations, guidelines, and policies under Title 5 of the United States Code, executive orders, public laws and other references identified in Section 3 of this document to ensure the enhanced leadership capacity of the Federal workforce and to assist agencies in meeting several leadership development objectives. This policy also outlines the leadership framework which provides enterprise-wide learning solutions for HUD's leaders through a continuum that focuses on leading at every level of the Department.

### 1.2. Background

The Office of Personnel Management (OPM), in collaboration with the Federal Chief Learning Officer's Council (CLOC), established an Interagency Training Working Group (ITWG) to develop a comprehensive managerial training framework to enhance the Federal Supervisory Training Framework. This framework incorporates mandatory training, recommended training as well as leadership competencies and human resources technical knowledge needed to succeed as a supervisor and manager.

The enhanced Federal Supervisory/Managerial Training Framework identifies learning objectives considered critical to achieve results by effectively leading organizations and people and managing processes. The framework does the following:

- Bridges strategic, tactical, and operational perspectives
- Aligns with Federal regulations
- Creates accountable and measurable standards for improvement
- Incorporate diverse learning delivery approaches

The learning objectives provide increased proficiency aligned with an employee's career progression from an aspiring leader/team leader through an experienced manager.<sup>1</sup>

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<sup>1</sup> This section derives from OPM's Memorandum dated September 28, 2015, which references OPM's published final regulations on *Supervisory, Management, and Executive Development*, 5 CFR part 412, on December 10, 2009 outlining the mandated implementation of these mandatory training requirements. It discusses systematic training and development of supervisors, managers, and executives and requires new supervisors to receive: (1) Initial supervisory training within one year of the new supervisor's appointment, and (2) Follow-up training in each of the four areas at least once every three years (pg. 3, para. 1-3).

### 1.3. Scope

- A. This policy is applicable to all employees in the Department. The Department shall provide reasonable accommodations in accordance with the requirements of Sections 501 and 504 of the Rehabilitation Act of 1973, 29 U.S.C. §§ 891 and 894 and shall make its electronic and information technology accessible to individuals with disabilities in accordance with the requirements of Section 508 of the Rehabilitation Act, 29 U.S.S. § 794d.
- B. When provisions of this policy differ from changes in law or regulation, the changes in law or regulation will apply. Where this policy is silent, the flexibilities allowed by regulation or operational guidance may be applied.

### 1.4. References

- A. 5 CFR § 410 - *Training*
- B. 5 CFR § 410.601(b) - *Reporting*
- C. 5 CFR § 412 - *Supervisory, Management, and Executive Development*
- D. 5 CFR § 412.201 - *Management Succession*
- E. 5 CFR § 412.202 - *Systematic Training and Development of Supervisors, Managers, and Executives*
- F. 5 CFR § 412.401 - *Continuing Executive Development*
- G. 5 CFR §315.801(a) - *Probationary Period; When Required*
- H. 5 CFR §315.904(a) (b) (c) - *Basic Requirement*
- I. 5 CFR §315.905 - *Length of the Probationary Period*
- J. 5 CFR §315.907(a) - *Failure to Complete the Probationary Period*
- K. 5 U.S. Code § 3373 - *Assignment of Employees to State or Local Governments*
- L. 5 U.S. Code § 3393 - *Career Appointments*
- M. 5 U.S. Code § 3396 - *Development for and within the Senior Executive Service*
- N. 5 U.S. Code § 4121 - *Specific Training Programs*
- O. 5 U.S. Code § 7103 (a)(10-11) - *Definitions (Supervisor & Management Official)*
- P. 29 U.S.C. §§ 701, 794, 794d - *Sections 501, 504, and 508 of the Rehabilitation Act*
- Q. *The Federal Workforce Flexibility Act of 2004 (P.L. 108-411)*
- R. *Logic Model Template for Federal Supervisory and Managerial Training*
- S. *OPM Fact Sheet on Continuing Service Agreements*
- T. *OPM's Hiring Reform and Recruitment Policies*

- U. OPM’s Executive Best Practices Guide
- V. OPM’s Guidelines for Managerial Development
- W. OPM’s Training and Development Policy Webpage
- X. OPM's Training Evaluation Field Guide and Supplement
- Y. OPM’s Federal Training and Development Wiki
- Z. OPM’s Proficiency Levels for Leadership Competencies
- AA. OPM’s Performance Management – Performance Cycle

### 1.5. Responsibilities

- A. The **Chief Human Capital Officer (CHCO)** or designee, is responsible for the administration of this policy. Approval to deviate from this policy must be obtained from the Chief Human Capital Officer or designee.
- B. The **Chief Learning Officer (CLO)** promotes a learning culture throughout the Department and is responsible for providing strategic direction for all learning initiatives. The CLO contributes to other strategic initiatives, such as change management, organizational design, and succession planning.
- C. The **HUD Learning Enrichment And Resources Network (LEARN)** designs and delivers programs at all levels of the organization aimed at building leadership, technical and professional skills. LEARN develops and approves policies governing employee learning and development, as indicated in the Employee Development Strategy (EDS). The Employee Development Strategy establishes governance of the committee, which meets as least two times annually or as otherwise required to address training, education and/or development needs of HUD employees.
- D. **HUD Program Area Leadership** ensures the policies and procedural guidance within this Directive are implemented in their respective components.
- E. **Program Offices/Training Officers** (In addition to providing policy and procedures) heads of Program Offices and Training Officers identify legislative and/or occupational specific training requirements.
- F. **HUD Supervisors, Managers, and Executives** are responsible for completing mandatory leadership development training requirements and other approved HUD-wide learning opportunities with seriousness of purpose and dedication to improve their performance. They are also responsible for the performance of their direct reports, which leads to the overall accomplishment of HUD’s organizational goals and mission.

## 1.6. Definitions

**Team Leader** – An employee who facilitates his/her team's processes by working collaboratively with the team to ensure that they complete their tasks effectively and efficiently, by maintaining positive working relationships, and by coordinating with the supervisory or manager and others on goals, priorities, team needs, and achievements.

**Supervisor** – A first-level supervisor personally directs subordinates without the use of other, subordinate supervisors. A person who holds a supervisory position that accomplishes work through the direction of subordinates. Subordinates may be Federal civil service employees, whether full-time, part-time, intermittent, or temporary; assigned military employees; non-Federal workers; unpaid volunteers; student trainees, or others.

**Manager** – A second-level supervisor who directs work through one layer of subordinate supervisors. Subordinates may be Federal civil service employees, whether full-time, part-time, intermittent, or temporary; assigned military employees; non-Federal workers; unpaid volunteers; student trainees, or others.

**Executive** - Member of the Senior Executive Service through career or political appointment.

## 2. General Policy

### 2.1. Team Lead Training

- A. To strengthen the Department's capability and to ensure an adequate number of well-prepared candidates for leadership positions, the Department will provide training for those who are interested in becoming supervisors or managers.
- B. HUD has established a succession management program which includes training to develop managers (5 U.S.C. 4121 and 5 CFR 412.201). Leadership development programs are a fundamental tool for a robust succession management plan. As a result of effective succession planning, the Department can ensure an adequate number of educated/qualified candidates for leadership positions within the organization.

## 2.2. Supervisory and Managerial Training

- A. 5 U.S.C. 4121, as enacted by the Federal Workforce Flexibility Act of 2004 (P.L. 108-411), directs agencies to provide specific training to develop supervisors and managers as part of a comprehensive succession management strategy. Specifically, the Department must provide training to supervisors and managers on actions, options and strategies in:
- Relating to employees with unacceptable performance;
  - Mentoring employees;
  - Improving employee performance and productivity; and
  - Conducting employee performance appraisals.
- B. In addition to the four topics above, HUD’s probationary supervisors receives the following: (In accordance with 5 U.S.C. 4121 and 5 CFR 412.202)
- Initial supervisory training within 1 year of the new supervisor’s appointment;
  - Retraining at least once every 3 years; and
  - Training on identifying and assisting employees with unacceptable performance.

## 2.3. Executive Development Training

Development does not stop once an individual becomes an Executive. Faced with programmatic and leadership challenges, Executives need to pursue continuous professional development. Executive leaders must maintain technical proficiency in their career field as well as leadership proficiency which will enable them to think systemically, motivate their employees, create organizational vision, and lead their organization to the accomplishment of its strategic objectives. The Department has a series of developmental learning opportunities available for the continuous development of its senior executives.

Members of the Senior Executive Service are required by the Office of Personnel Management (OPM) to prepare, implement, and regularly update an Executive Development Plan (EDP) as specified by 5 CFR 412.401. The EDP is a key tool in assisting executives in their continued development. EDPs should outline a senior executive's short-term and long-term developmental activities which will enhance the executive's performance. These activities should meet organizational needs for leadership, managerial improvement, and results. EDPs should be reviewed annually by the executive and the Office of Executive Resources.

**Note:** Please refer to the Department Training Policy for a description and the required frequency of the mandatory trainings listed above.

### 3. HUD Policy

- A. Within HUD, the continuum of learning and development opportunities for supervisors, managers and executives is built upon the HUD Leadership Journey Framework, which is designed to implement an integrated model for developing leadership skills as an employee transitions throughout his/her career as a leader.
- B. In transforming HUD, this policy promotes strengthening of the talent pipeline for pre-supervisory, supervisory, management and executive level positions within HUD, by ensuring a continuity of growth and development.
- C. HUD managers and supervisors must complete the following training requirements **in addition** to the Mandatory Training outlined in the *Departmental Training Policy*.
  - *New Supervisors Training* – Supervisors who are in their probationary year must complete no less than 80 hours of training. (see [Figure 1. Federal Supervisory Training Framework](#))
  - *Managers Refresher Training* – All supervisors must complete no less than 20 hours of refresher training at least once every 3 years. The target competencies include:
    - *Conflict Management*
    - *Developing Others*
    - *Human Capital Management*
    - *Public Service Motivation*
  - *Continuous Learning* – Supervisors are required to complete at least one 8-hour training opportunity each year.

In addition to mandatory training requirements, supervisors, managers, and executives are mandated to complete the *Veteran Employment Training for Federal Hiring Managers*; E.O. 13518.

## 4. Leadership Framework

### 4.1. Federal Supervisory Training Framework

The framework outlines OPM's competency development for aspiring leaders, team leaders, and new supervisors which is depicted in [Figure 1. Federal Supervisory Training Framework](#). It also includes overarching topics encompassing critical HR-related technical knowledge represented as sub-headings.

### 4.2. Federal Managerial Training Framework

The framework outlines OPM's competency development for new managers, experienced managers, and senior managers which is observed in [Figure 2. Federal Managerial Training Framework](#)

### 4.3. HUD Leadership Journey Framework

- A. The **HUD Leadership Journey Framework** is based upon the leadership competencies that are outlined in Office of Personnel Management's (OPM) Executive Core Qualifications. In fact, the executive core qualifications define the competencies needed to build a federal corporate culture that strives for results, serves customers, and builds successful teams and coalitions within and outside the agency. Fundamental Competencies are the personal and professional attributes that are critical to successful performance in the SES and is vital to those who are seeking a senior management position. ECQ descriptions and associate competencies are described in Appendices 1-3.
- B. The framework is broken down into five series: Managing Self (all employees), Managing Projects (team leaders or project managers), Managing People (supervisors), Managing Systems (managers), and Leading Strategically (executives) outlined in [Figure 3](#). The competencies that are identified in each series are representative of the competencies needed to effectively perform in a particular job responsibility within the agency.

**Figure 1. Federal Supervisory Training Framework**



\*5 CFR part 412 requires agencies to provide training when employees make critical career transitions. 5 CFR part 412 also requires supervisors to complete refresher training at least once every 3 years.

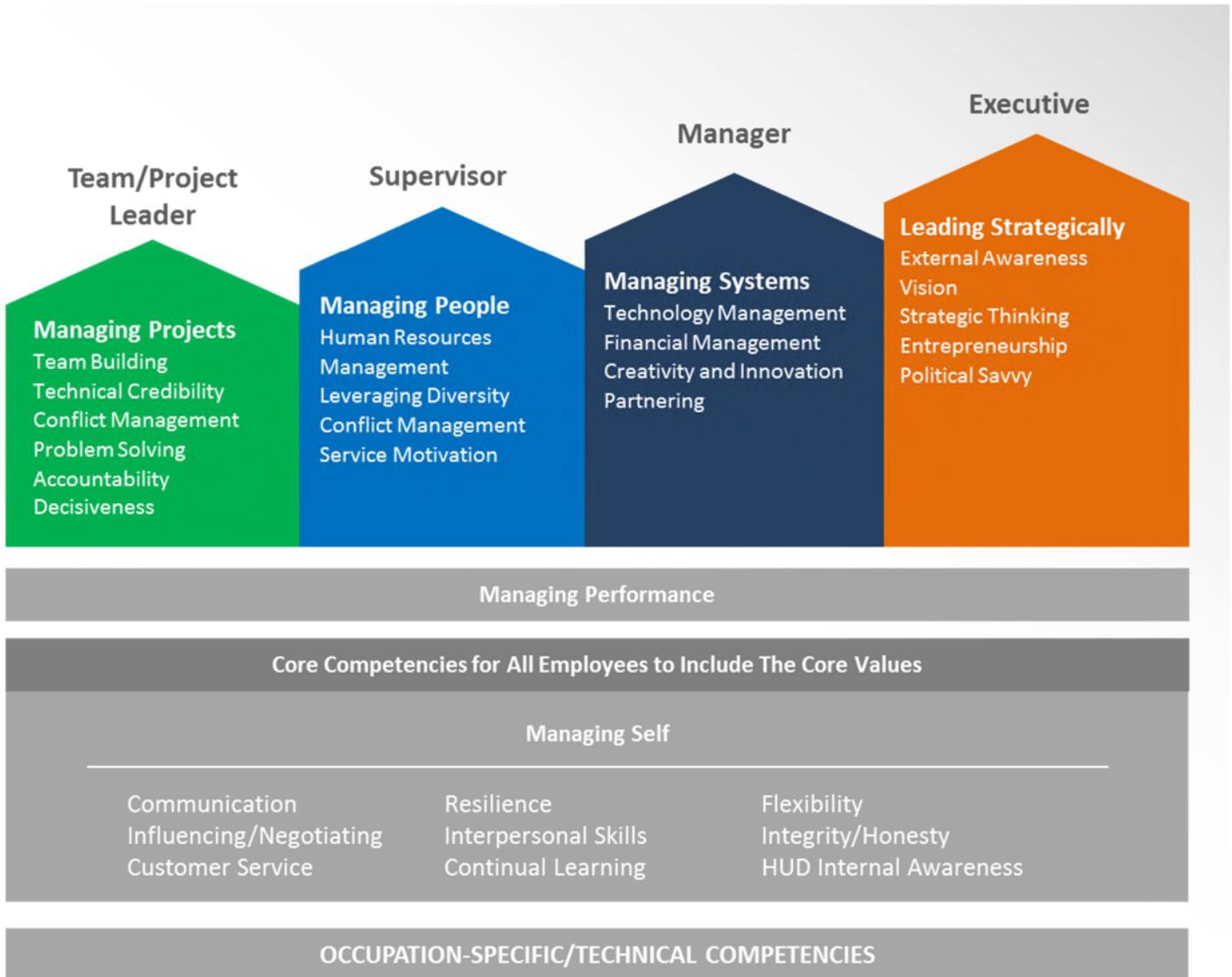
\*\*The Telework Enhancement Act of 2010 requires managers and supervisors of teleworkers to participate in telework training.

**Figure 2. Federal Managerial Training Framework**



\*5 CFR part 412 requires agencies to provide training when employees make critical career transitions. 5 CFR part 412 also requires supervisors to complete refresher training at least once every 3 years.

**Figure 3. HUD Leadership Journey Framework**



## Appendix 1. Performance Management Cycle



### Goal Setting

Supervisors need to communicate organizational goals and how they link to individual and work group performance in order to energize their employees to accomplish desired results. While developing performance plans, supervisors and employees can talk about how employee accomplishments support organizational goals. By aligning employee performance with organizational goals, supervisors direct their employees' efforts toward maximizing accomplishments and supporting the agency's strategic plans.

- Specify tasks and results. Clearly describe tasks to be accomplished that produce fully successful results.
- Set targets or standards. Setting goals that are difficult but possible to achieve produces higher levels of performance than no goals or vague goals.
- Determine the measures. Using clear measures (quality, quantity, cost, timeliness, and frequency of completion) at all levels of the organization for successful performance management.
- Outline timeframes. To maximize the benefits of goal setting, specify expected timeframes for achieving goals.
- Prioritize goals. Rank or prioritize goals so employees are aware of their relative importance in relation to performance focus.
- Rate goal performance. Employees need to know about the process of appraising elements and assigning a summary performance rating.
- Coordinate efforts for goal achievement. If goal attainment requires a group effort, plan and measure each individual's contribution.

### **Building a Performance Culture**

Creates an environment that fosters and rewards teamwork, leverages diversity, shares knowledge and resources, inspires collaboration and promotes results-focused mission accomplishment.

### **Differentiating Performance**

Supervisors must learn how to establish performance plans with measurable results that are conducive to differentiating performance. Supervisors must develop and demonstrate the ability to make fair assessments of their subordinates' performance. According to the Office of Personnel Management's (OPM) Federal Competency Assessment Tool - Management (FCAT-M), the assessments should be based on "observable behaviors, performance feedback, and demonstrated results."

### **Facilitating Performance**

This competency ultimately helps contribute to meeting and exceeding organizational goals and objectives. Facilitating Performance is described in OPM's Federal Competency Assessment Tool-Management (FCAT-M) as initiating and guiding the efforts of self and subordinates toward performance goals through ongoing support, removal of performance obstacles, managing consequences, and holding employees accountable.

Facilitating Performance starts with the supervisor engaging in career development discussions with his/her employees. These discussions help identify individual employee's strengths and weaknesses. Both supervisor and employee can now focus on closing the gaps by improving the agreed upon weaknesses and continuing to develop the strengths. This is the start of a continuous process of communicating with employees about their individual expectations, career development, and organizational goals.

### **Performance Coaching & Feedback**

The purpose of performance coaching and feedback is to help managers improve the productivity of their employees, to develop and improve an employee's capability to perform and to correct poor performance. The relationship between managers and their employees begins with performance-related conversations that are continual throughout the duration of the working relationship. Effective application of performance coaching and feedback will result in better achievement of agency strategic goals and objectives as well as professional growth for both managers and employees.

### **Understanding Performance Management Processes & Practices**

A supervisor equipped with this competency will be able to better focus efforts on achieving organizational and individual goals. This process includes:

- Planning work and setting expectations,
- Continually monitoring performance,
- Developing the capacity to perform,
- Periodically rating performance in a summary fashion, and
- Rewarding good performance.

Moreover, for HUD's specific guidance on the systematic process for effective performance management, please refer to the *Performance Management Desk Guide for All HUD Employees*.

## Appendix 2. Framework Definitions and Learning Objectives

### Federal Supervisory & Managerial Training Framework Definitions and Learning Objectives

Appendix provides definitions and learning objectives to help HUD execute OPM’s Federal Supervisory and Managerial Training Framework. The following definitions describe and explain the meaning of each leadership competency identified in the Framework. The following learning objectives describe the expected performance and outcomes of the learner at the conclusion of a learning activity. The definitions and learning objectives are stated in terms of what the learner will be able to think, feel, or do as a result of the selected learning activity. The objectives are measurable, and each one describes increases in proficiency aligned with an employee’s career progression from an aspiring leader/team leader to experienced manager.

### Supervisory Training Framework Definitions and Learning Objectives

**Table 1. Aspiring Leader/Team Leader - Leadership Competencies**

| Aspiring Leader/Team Leader:<br>Leadership Competencies |  |  |
|---|--|--|
| Leadership Competency                                   | Definition   | Learning Objectives<br>An aspiring leader/team leader will be able to:   |
| <b>Team Building</b>                                    | Inspires and fosters team commitment, spirit, pride, and trust. Facilitates cooperation, and motivates team members to accomplish group goals. | <ul style="list-style-type: none"> <li>• Identify the stages of team development</li> <li>• Establish behavioral norms with teams</li> <li>• Describe approaches to building effective teams</li> <li>• Clarify team purpose and goals</li> <li>• Utilize team building exercises to improve team dynamics</li> <li>• Demonstrate how to encourage employees to share skills and abilities within work groups to facilitate completion of challenging tasks</li> <li>• Organize teams to identify and address agency concerns</li> </ul> |
| <b>Technical Credibility</b>                            | Understands and appropriately applies principles, procedures, requirements, regulations, and policies related to specialized expertise.        | <ul style="list-style-type: none"> <li>• Interact with employees to understand technical aspects of job duties</li> <li>• Gather technical information from internal and external stakeholders</li> <li>• Provide employees with feedback and support on technical issues</li> <li>• Formulate technically-sound recommendations to develop effective work products</li> </ul>   |

| Aspiring Leader/Team Leader:<br>Leadership Competencies |  |   |
|---|--|---|
| Leadership Competency                                   | Definition   | Learning Objectives<br>An aspiring leader/team leader will be able to:  |
| <b>Conflict Management</b>                              | 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.  | <ul style="list-style-type: none"> <li>• Identify conflict management styles and situations where they are most appropriate</li> <li>• Describe the nature of conflict and its effects</li> <li>• Identify causes of conflict</li> <li>• Identify and address employee grievances</li> <li>• Implement changes to ensure the work environment is fair and equitable based on employee concerns</li> <li>• Manage and resolve conflicts and disagreements in a constructive manner</li> </ul>  |
| <b>Problem Solving</b>                                  | Identifies and analyzes problems; weighs relevance and accuracy of information; generates and evaluates alternative solutions; makes recommendations.  | <ul style="list-style-type: none"> <li>• Determine possible causes of workforce problems and recommend corrective action</li> <li>• Identify solutions to improve customer satisfaction</li> <li>• Collect and analyze pertinent data/information and seek ideas/feedback from stakeholders</li> <li>• Assess routine organizational problems by leading a team to brainstorm potential solutions</li> <li>• Establish guidelines to clarify complex and/or controversial processes</li> </ul>  |
| <b>Accountability</b>                                   | 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. | <ul style="list-style-type: none"> <li>• Understand areas of accountability for work products, services, and results</li> <li>• Encourage employees to take ownership of work products, services, and results</li> <li>• Monitor programs and activities and take corrective action when necessary</li> <li>• Delegate work to employees to ensure employees meet key requirements</li> <li>• Develop written policies and procedures to ensure consistent adherence by employees</li> <li>• Investigate claims of employee violations and encourage employees to take responsibility for actions</li> <li>• Develop goals and assess workgroup progress towards goal achievement</li> <li>• Assure that effective controls are developed and maintained to ensure the integrity of the work</li> </ul> |

| Aspiring Leader/Team Leader:<br>Leadership Competencies |  |  |
|---|--|--|
| Leadership Competency                                   | Definition   | Learning Objectives<br>An aspiring leader/team leader will be able to:   |
| <b>Decisiveness</b>                                     | Makes well-informed, effective, and timely decisions, even when data are limited or solutions produce unpleasant consequences; perceives the impact and implications of decisions. | <ul style="list-style-type: none"> <li>• Develop meeting agendas and determine topics for group decision-making</li> <li>• Understand the importance of involving others in decision-making</li> <li>• Determine the appropriate individuals needed for a decision-making process</li> <li>• Seek out best practices when making organizational decisions</li> <li>• Understand the importance of making sound and timely decisions for a project, team, or work unit</li> <li>• Effectively manage decision-making as a process</li> <li>• Utilize awareness of personal decision patterns when making decisions</li> </ul>   |
| <b>Interpersonal Skills</b>                             | Treats others with courtesy, sensitivity, and respect. Considers and responds appropriately to the needs and feelings of different people in different situations.                 | <ul style="list-style-type: none"> <li>• Interact with peers in a tactful manner</li> <li>• Demonstrate empathy and respect to employees</li> <li>• Demonstrate openness and approachability to employees at all levels</li> <li>• Examine and correct employee mistakes in a courteous manner</li> <li>• Respond appropriately to the needs, feelings and views of different people (including senior leaders, stakeholders, and customers) in different situations</li> <li>• Apply and practice effective listening strategies and techniques</li> <li>• Foster an atmosphere where employees are able to voice their opinions, concerns, or ideas without fear of criticism, ridicule, or retaliation</li> </ul> |

| Aspiring Leader/Team Leader:<br>Leadership Competencies |  |  |
|---|--|--|
| Leadership Competency                                   | Definition   | Learning Objectives<br>An aspiring leader/team leader will be able to:   |
| <b>Oral Communication</b>                               | Makes clear and convincing oral presentations. Listens effectively; clarifies information as needed.                     | <ul style="list-style-type: none"> <li>• Identify his/her own communication style</li> <li>• Identify barriers to effective communication and identify ways to overcome them</li> <li>• Conduct regular meetings to discuss initiatives and current events</li> <li>• Actively listen to and show understanding of oral communication from employees, customers, and other stakeholders</li> <li>• Understand how to defuse intensity during difficult conversations and interactions</li> <li>• Orally present ideas and facts in a clear, organized, and convincing manner and in a style, tone, and level appropriate to the audience and the occasion</li> <li>• Communicate agency goals and initiatives to employees in a clear and concise manner</li> </ul>  |
| <b>Integrity/Honesty</b>                                | Behaves in an honest, fair, and ethical manner. Shows consistency in words and actions. Models high standards of ethics. | <ul style="list-style-type: none"> <li>• Demonstrate an increased awareness of the Code of Ethics for Government Service and other laws governing ethical behavior</li> <li>• Establish open and honest communication with employees, customers, and other stakeholders</li> <li>• Recognize available options in analyzing and resolving ethical situations</li> <li>• Discuss ethical problems with employees, and respond appropriately</li> <li>• Maintain fairness and objectivity when selecting team members based upon skill sets needed for projects</li> <li>• Address employee conduct issues in a confidential and respectful manner</li> <li>• Instill a climate of trust, openness, and honesty by admitting own mistakes and taking responsibility for one's actions</li> <li>• Display fortitude to support ethical actions that may negatively impact self or stakeholders</li> </ul> |

| Aspiring Leader/Team Leader:<br>Leadership Competencies |   |   |
|---|---|---|
| Leadership Competency                                   | Definition  | Learning Objectives<br>An aspiring leader/team leader will be able to:  |
| <b>Written Communication</b>                            | Writes in a clear, concise, organized, and convincing manner for the intended audience. | <ul style="list-style-type: none"> <li>• Examine various writing styles and formats, and understand the appropriate contexts in which to use them</li> <li>• Express facts and ideas in writing in a clear, convincing, and organized manner that is appropriate to the audience and occasion</li> <li>• Write documents using clear terminology and a concise format</li> <li>• Review technical reports, edit materials, and provide suggestions to improve clarity while ensuring documents are targeted to the intended audience</li> </ul>   |
| <b>Continual Learning</b>                               | Assesses and recognizes own strengths and weaknesses; pursues self-development.         | <ul style="list-style-type: none"> <li>• Recognize opportunities for self-development</li> <li>• Solicit periodic feedback to continually improve quality of own work</li> <li>• Recognize areas needing improvement, and take training to increase skills</li> <li>• Develop an Individual Development Plan (IDP) to address developmental areas</li> <li>• Integrate acquired knowledge or skills (e.g., team/work-unit sharing, lessons learned, sharing information data bases) into day-to-day work</li> <li>• Engage in systematic, self-directed training and development activities aligned with the strategic needs of the agency</li> </ul> |

| Aspiring Leader/Team Leader:<br>Leadership Competencies |   |  |
|---|---|--|
| Leadership Competency                                   | Definition  | Learning Objectives<br>An aspiring leader/team leader will be able to:   |
| <b>Public Service Motivation</b>                        | Shows a commitment to serve the public. Ensures that actions meet public needs; aligns organizational objectives and practices with public interests. | <ul style="list-style-type: none"> <li>• Understand the importance of treating the public with deep respect and tact – maintaining a reputation for public service devotion</li> <li>• Respond promptly and accurately to public inquiries about agency policies</li> <li>• Review unit policies and procedures on a regular basis to ensure they are consistent with public needs</li> <li>• Emphasize the adherence of spending activities to legal requirements and established procedures to ensure appropriate use of public resources</li> <li>• Cultivate relationships with community stakeholders to validate usefulness of proposed products and services</li> <li>• Create and foster a culture that encourages a commitment to public service</li> </ul> |

**Table 2. New Supervisor: First 3 Months - HR-Related Technical Knowledge**

| <b>New Supervisor: First 3 Months</b><br><b>HR-Related Technical Knowledge</b> |   |  |
|--|---|--|
| <b>HR-Related Technical Knowledge</b>  | <b>Definition</b>   | <b>Learning Objectives</b><br>A new supervisor will be able to:  |
| <b>Merit System Principles</b>   | Holds self and others accountable for efficient and effective human resources management in support of agency’s mission in accordance with Merit System Principles. | <ul style="list-style-type: none"> <li>• Identify and describe the merit system principles that form the foundation of supervisors’ legal and human resources management responsibilities</li> <li>• Understand the importance and value of merit system principles to the United States Federal government</li> <li>• Understand a supervisor’s responsibilities for protecting the merit system</li> <li>• Consider sound supervisory advice before taking action or making personnel decisions</li> <li>• Apply merit system principles to daily work situations</li> </ul> |
| <b>Prohibited Personnel Practices</b>  | Possesses knowledge and understanding of prohibited personnel actions, including equal employment opportunity (EEO) practices.                                      | <ul style="list-style-type: none"> <li>• Define the term “personnel action”</li> <li>• Identify and describe the prohibited personnel practices</li> <li>• Understand how to prevent and correct discriminatory practices</li> <li>• Understand the role and responsibilities of supervisors to enforce EEO</li> <li>• Identify agency EEO contacts and resources</li> <li>• Identify agency EEO law and doctrine</li> <li>• Develop EEO dispute resolution techniques</li> <li>• Understand whistleblower retaliation</li> </ul>  |

| <b>New Supervisor: First 3 Months</b><br><b>HR-Related Technical Knowledge</b> |  |   |
|--|--|---|
| <b>HR-Related Technical Knowledge</b>  | <b>Definition</b>  | <b>Learning Objectives</b><br>A new supervisor will be able to:   |
| <b>Hiring</b>  | Illustrates knowledge, understanding and application of hiring initiatives and best practices in relation to a number of hiring areas, including: workforce planning, recruitment, interviewing, and selection.  | <ul style="list-style-type: none"> <li>• Explain the basic hiring process, position classification, behavioral interviewing, and the supervisor’s role in each of these areas</li> <li>• Describe the process for filling a position and the supervisor’s role in this process</li> <li>• Identify hiring best practices and common issues</li> <li>• Discuss predictors of good hiring selections and causes of bad selections</li> <li>• Develop sound behavioral-based interview questions and recognize inappropriate interview questions</li> <li>• Apply hiring best practices to Interview candidates for positions; recommend appointments, promotions, or reassignments to such positions</li> <li>• Identify and apply workforce restructuring strategies</li> </ul>  |
| <b>Pay and Leave Policy</b>  | Illustrates knowledge, understanding, and application of supervisor’s responsibilities to comply with Federal pay and leave law and regulations relating to a number of areas, including time and attendance as well as management of HR information systems. Follows OPM's policies and guidance to administer pay policies and programs for employees. | <ul style="list-style-type: none"> <li>• Identify the different types of leave, when they apply, and the process by which they are requested and approved</li> <li>• Explain the supervisor’s role in leave administration</li> <li>• Compare and contrast overtime, compensatory time, and credit hours</li> <li>• Identify instances of leave abuse and address suspected leave abuse</li> <li>• Discuss indicators and appropriate steps to take in leave abuse situations/work schedules</li> <li>• Identify a supervisor’s roles and responsibilities in managing the agency’s HR information system to maintain employees’ accurate pay and leave records</li> <li>• Understand Alternative Work Schedules (AWS) and telework and how to apply these flexibilities</li> <li>• Describe typical hours of work and characteristics of flexible and compressed work schedules</li> </ul> |

| <b>New Supervisor: First 3 Months</b><br><b>HR-Related Technical Knowledge</b> |  |   |
|--|--|---|
| <b>HR-Related Technical Knowledge</b>  | <b>Definition</b>  | <b>Learning Objectives</b><br>A new supervisor will be able to:   |
| <b>Telework Policy</b>   | Illustrates knowledge, understanding and application of agency’s telework policy and telework best practices to effectively manage remote personnel.         | <ul style="list-style-type: none"> <li>• Describe the potential personal and organizational advantages of telework</li> <li>• Explain agency telework principles and procedures</li> <li>• Use the telework agreement to have meaningful discussions about the expectations of teleworking employees</li> <li>• Identify employee work habits and job tasks that are suitable for telework</li> <li>• Identify the roles and responsibilities in establishing and managing telework</li> <li>• Identify best practices in managing remote personnel</li> <li>• Clearly state expectations for performance to ensure the standards do not create inequities or inconsistencies between teleworking and non-teleworking employees</li> </ul>  |
| <b>Reasonable Accommodations</b>   | Illustrates knowledge, understanding, and application of supervisor’s responsibility in complying with Federal reasonable accommodation law and regulations. | <ul style="list-style-type: none"> <li>• Describe how reasonable accommodation is applicable to the hiring process and to the performance of a job</li> <li>• Determine whether a person is an individual with a disability, including appropriate situations when medical documentation may be required</li> <li>• Understand how to determine whether a person is qualified for a job including how to identify the essential functions of a position and how to determine whether/what reasonable accommodation should be granted and what constitutes an undue hardship to the agency</li> <li>• Identify different types of accommodations related to job performance including: job restructuring, leave, modified or part-time schedule, modified workplace policies, and reassignment</li> <li>• Describe the employing agency’s reasonable accommodation process and procedures</li> </ul> |

**Table 3. New Supervisor: First Year - Leadership Competencies**

| New Supervisor: First Year<br>Leadership Competencies |  |  |
|---|--|--|
| Leadership Competency                                 | Definition   | Learning Objectives<br>A new supervisor will be able to:   |
| <b>Human Capital Management</b>                       | Builds and manages workforce based on organizational goals, budget considerations, and employees’ 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. | <ul style="list-style-type: none"> <li>• Apply and recommend appropriate personnel actions to recruit, hire, and retain employees</li> <li>• Implement effective performance management practices that set expectations, monitor progress, develop employees, evaluate, and reward good performance</li> <li>• Take or recommend selection/promotion actions based upon criteria and requirements applicable to specific positions</li> <li>• Consider the impact of personnel decisions on current employees</li> <li>• Recognize and address deficiencies of human resources processes or tools</li> </ul> |
| <b>Developing Others</b>                              | 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.  | <ul style="list-style-type: none"> <li>• Support learning before, during, and after learning experiences to maximize effectiveness</li> <li>• Provide developmental feedback, guidance, and reinforcement to employees regarding job performance and expectations</li> <li>• Identify opportunities for employees to learn through formal or informal methods</li> <li>• Identify learning opportunities and outcomes from difficult conversations</li> <li>• Describe the importance and value of IDPs in relation to the career growth and success of supervisors and their employees</li> </ul>           |

| New Supervisor: First Year<br>Leadership Competencies |  |  |
|---|--|--|
| Leadership Competency                                 | Definition   | Learning Objectives<br>A new supervisor will be able to:   |
| <b>Leveraging Diversity</b>                           | Fosters an inclusive workplace where individual similarities and differences are valued and leveraged to achieve the vision and mission of the organization. | <ul style="list-style-type: none"> <li>• Create a diverse and inclusive environment which brings together different cultures, ideas, and experiences</li> <li>• Identify creative approaches for targeted recruiting to develop a workforce that draws from all segments of society and thus benefits from diverse strengths</li> <li>• Build a diverse staff, composed of members with a variety of skills who function effectively to accomplish the mission of the organization</li> <li>• Create a work environment and team that leverage the diverse capabilities of employees</li> <li>• Define diversity and articulate the business case for diversity and inclusion</li> <li>• Demonstrate adherence of everyday work duties and activities to diversity and EEO laws, policies, goals, objectives, procedures, and philosophies</li> <li>• Create and promote an environment in which individuals are appropriately respected and recognized for their perspectives and contributions</li> <li>• Create a work environment and teams that leverage the diverse capabilities of employees</li> </ul> |

| <b>New Supervisor: First Year</b><br><b>Leadership Competencies</b> |   |   |
|---|---|---|
| <b>Leadership Competency</b>  | <b>Definition</b>   | <b>Learning Objectives</b><br>A new supervisor will be able to:   |
| <b>Strategic Thinking</b>   | 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. | <ul style="list-style-type: none"> <li>• Differentiate between tactical approaches and strategic approaches to thinking</li> <li>• Identify detractors that commonly prevent strategic thinking</li> <li>• Articulate the agency’s strategic plan, goals, and metrics</li> <li>• Describe current or new developments and decisions that impact agency’s programs, resources, and mission</li> <li>• Develop and implement an organizational plan with goals, strategies, and metrics aligned to the agency’s strategic plan</li> <li>• Communicate to all employees how work-unit activities and priorities relate to agency strategic goals</li> <li>• Create project teams and staffing plans based on consideration of strategic objectives</li> <li>• Develop team objectives that are consistent with the strategic plans of the agency and the organization</li> <li>• Regularly monitor organizational progress, including progress of individual teams, towards strategic goals</li> </ul> |
| <b>Creativity and Innovation</b>                                    | Develops new insights into situations; questions conventional approaches; encourages new ideas and innovations; designs and implements new or cutting edge programs/processes.                  | <ul style="list-style-type: none"> <li>• Explain the need for and the relationship between creativity and innovation</li> <li>• Illustrate the ability to think comprehensively and multi-dimensionally</li> <li>• Develop strategies to overcome individual and team obstacles to creativity</li> <li>• Recognize and reward creative and innovative efforts</li> <li>• Review and consider innovative ideas generated by others</li> </ul>  |

| New Supervisor: First Year<br>Leadership Competencies |   |   |
|---|---|---|
| Leadership Competency                                 | Definition  | Learning Objectives<br>A new supervisor will be able to:  |
| <b>Conflict Management</b>                            | 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. | <ul style="list-style-type: none"> <li>• Anticipate potential conflict situations and diffuse them before they escalate</li> <li>• Anticipate the outcomes of conflict</li> <li>• Identify ways to leverage productive conflict</li> <li>• Manage conflict among team members by utilizing mediation techniques</li> <li>• Address concerns regarding critical issues with employees in an open and honest manner</li> <li>• Resolve and address behavior issues to ensure employees treat each other with respect</li> <li>• Recognize conflict and take steps to address issues by meeting with the involved parties</li> <li>• Resolve conflicts arising at the agency level due to competing objectives, limited resources, or differing perspectives</li> </ul>  |
| <b>Customer Service</b>                               | Anticipates and meets the needs of both internal and external customers. Delivers high-quality products and services, and commits to continuous improvement.  | <ul style="list-style-type: none"> <li>• Understand the importance of customer service in the Federal Government</li> <li>• Develop an understanding of who customers are and how to gauge their expectations</li> <li>• Learn the rational and emotional elements of customer relationships</li> <li>• Evaluate customer-service efforts</li> <li>• Deliver high-quality products and services</li> <li>• Establish and use feedback systems to meet customer requirements and expectations</li> <li>• Design and implement guidelines to improve products and services</li> <li>• Address customer service deficiencies by involving employees to identify solutions</li> <li>• Design and continuously evaluate innovative customer-service initiatives</li> </ul> |

| New Supervisor: First Year<br>Leadership Competencies |   |  |
|---|---|--|
| Leadership Competency                                 | Definition  | Learning Objectives<br>A new supervisor will be able to:   |
| <b>Team Building</b>                                  | Inspires and fosters team commitment, spirit, pride, and trust. Facilitates cooperation and motivates team members to accomplish group goals.   | <ul style="list-style-type: none"> <li>• Create an environment that encourages and rewards cooperation, collective problem-solving, and participative decision-making</li> <li>• Develop team mission and goals by including the entire team in the decision-making processes</li> <li>• Lead the team from various organizational units to create new systems or processes</li> <li>• Promote team cohesiveness by defining roles and responsibilities of each team member and establishing overall objectives</li> <li>• Foster interagency networks to accomplish long-term strategic goals</li> </ul>  |
| <b>Financial Management</b>                           | 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. | <ul style="list-style-type: none"> <li>• Demonstrate an understanding of the Federal budget process and how it affects the work unit's plans, decisions, and actions</li> <li>• Apply Federal and agency guidelines and procedures to develop budget requests and operating plans</li> <li>• Justify requested funding in relation to program objectives – optimizing likelihood of funding approval</li> <li>• Allocate and obligate funds according to approved funding levels and operating plan</li> <li>• Monitor income and expenditures for projects to ensure appropriate and accountable spending – avoiding anti-deficiencies due to over-spending and lapsed funding resulting from a failure to spend</li> </ul> |

**Table 4. New Supervisor: First Year - HR-Related Technical Knowledge**

| New Supervisor: First Year<br>HR-Related Technical Knowledge |  |   |
|--|--|---|
| HR-Related Technical Knowledge                               | Definition   | Learning Objectives<br>A new supervisor will be able to:  |
| <b>Employee Relations</b>                                    | Illustrates knowledge, understanding, and application of Federal employee relations policies and regulations that maintain supervisor-employee relationships, including workplace violence preventions and response. | <ul style="list-style-type: none"> <li>• Examine and resolve complaints from employees</li> <li>• Identify common employee relations issues including those relating to: performance, misconduct, and time and attendance</li> <li>• Apply minor disciplinary measures, such as warnings and reprimands, while referring group grievances and more serious unresolved complaints to a higher-level supervisor or manager</li> <li>• Describe and apply progressive discipline</li> <li>• Identify the steps in the disciplinary action process</li> <li>• Describe employee discipline and the agency misconduct investigation process</li> <li>• Identify appropriate actions and options for addressing performance, in consultation with the agency’s servicing Employee Relations office</li> <li>• Identify available HR resources that provide information and guidance for supervisors to carry out their responsibilities</li> <li>• Recognize the warning signs of potential workplace violence, with the advice and assistance of the agency officials who are designated to provide assistance on this issue</li> <li>• Identify a supervisor’s responsibilities for creating and maintaining a safer work environment</li> <li>• Identify and describe the skills needed to take preventive action against workplace violence</li> <li>• Describe the agency’s plan and procedures for workplace violence situations</li> </ul> |

| <b>New Supervisor: First Year</b><br><b>HR-Related Technical Knowledge</b> |   |  |
|--|---|--|
| <b>HR-Related Technical Knowledge</b>                                      | <b>Definition</b>   | <b>Learning Objectives</b><br>A new supervisor will be able to:  |
| <b>Labor Relations</b>   | Illustrates knowledge, understanding, and application of Federal labor relations policies and regulations. Understanding of the supervisor’s role in managing unionized employment situations to minimize conflict.   | <ul style="list-style-type: none"> <li>• Describe the basics of labor relations and union interactions to resolve daily workplace issues</li> <li>• Identify agency labor and employee relations contacts</li> <li>• Explain the role of unions in the Federal Government</li> <li>• Explain the rights of supervisors and employees</li> <li>• Describe both the importance of the Collective Bargaining Agreement in governing the day-to-day working conditions of bargaining unit employees and the limits upon such agreements (i.e., that in the case of any conflict with applicable law, applicable law governs).</li> <li>• Explore typical labor management situations (e.g., changes in working conditions, formal discussions, investigative meetings, grievances)</li> <li>• Explain the supervisor’s role in agency grievance procedures</li> <li>• Describe the Federal Service Labor-Management Relations Statute (FSLMRS) (5 USC § 7101-7135) and how it governs labor relations in the Federal Government</li> <li>• Describe the core rights reserved to management under 5 USC § 7106(a)(1)</li> </ul> |
| <b>Classification</b>  | Illustrates knowledge and understanding of the position classification process through which Federal jobs (i.e., positions) are assigned to a pay system, series, title, and grade or band, based on consistent application of position classification standards, including the development and use of position descriptions. | <ul style="list-style-type: none"> <li>• Describe the purpose and use of position descriptions, classification, and job analysis</li> <li>• Explain basic position classification principles and the supervisor’s role in classifying positions</li> <li>• Assess and update position descriptions to ensure accuracy and relevance</li> </ul>   |

| <b>New Supervisor: First Year</b><br><b>HR-Related Technical Knowledge</b> |   |   |
|--|---|---|
| <b>HR-Related Technical Knowledge</b>                                      | <b>Definition</b>   | <b>Learning Objectives</b><br>A new supervisor will be able to:   |
| <b>Talent Management</b>   | Illustrates knowledge and understanding on the development, retention, and management of people with the required skills and aptitude to meet current and future organizational needs, including in the following areas: employee engagement; emotional intelligence; compensation; recognition, and work-life balance. | <ul style="list-style-type: none"> <li>• Recognize the importance of the Federal Employee Viewpoint Survey (FEVS) and how to leverage it to increase engagement within your organization</li> <li>• Identify the factors that influence employee engagement and employee disengagement within your team and organization</li> <li>• Assess employee development and training needs to foster employee growth and advancement</li> <li>• Identify key attributes of emotionally intelligent (EI) leaders</li> <li>• Recognize the value of managing emotions in the workplace</li> <li>• Manage the work performance of subordinates, including: planning and setting expectations; developing employees to enable their success; monitoring progress; evaluating performance; and rewarding good performance</li> <li>• Apply a strategic approach, emphasizing mission and organizational outcomes, when determining and implementing work/life initiatives</li> </ul> |
| <b>Employee Onboarding</b>   | Illustrates knowledge, understanding, and application of the process for integrating new employees into an organization and equipping them to become successful and productive.   | <ul style="list-style-type: none"> <li>• Describe agency’s onboarding process</li> <li>• Identify and describe role in each phase of the onboarding process</li> <li>• Explain and set cultural expectations for new employees (e.g., when to “cc” the supervisor on emails, what decisions can be made without supervisor approval, communication styles)</li> <li>• Monitor performance and provide formal and informal feedback and support throughout the employee’s first year</li> </ul>  |

**Table 5. New Supervisor: First Year - Organizational Performance Management**

| <b>New Supervisor: First Year</b><br><b>Organizational Performance Management</b> |  |   |
|---|--|---|
| <b>HR-Related Technical Knowledge</b>   | <b>Definition</b>  | <b>Learning Objectives</b><br>A new supervisor will be able to:   |
| <b>Organizational Performance Management</b>                                      | Addresses individual and organizational performance matters necessary to properly create and sustain a results-oriented culture by aligning performance objectives with agency goals and aligning office goals with the agency strategic plan. | <ul style="list-style-type: none"> <li>• Describe each stage and function of the agency’s performance management cycle, as well as the supervisory responsibilities corresponding to each stage</li> <li>• Explain the agency’s mission, vision, and strategic priorities</li> <li>• Discuss key elements of the agency’s work environment and culture</li> <li>• Define meaningful, relevant, and measurable performance standards and objectives that align with the agency strategic plan</li> </ul> |

**Table 6. Performance Management Requirement for all Managers and Supervisors**

| Performance Management Required by 5 CFR Part 412      |  |
|--|--|
| Training Requirement                                   | Learning Objectives<br>A new supervisor will be able to:   |
| <b>Conducting Performance Appraisals</b>               | <ul style="list-style-type: none"> <li>• Differentiate the mid-year and annual review process</li> <li>• Explain how a mid-year and annual review are conducted</li> <li>• Identify critical job performance elements that define results to be achieved</li> <li>• Conduct effective performance discussions with employees</li> <li>• Describe and demonstrate how to rate performance objectives and behavioral performance consistently and fairly across employees at the end of the rating cycle</li> <li>• Develop effective and meaningful narratives for employees</li> </ul> |
| <b>Handling Unacceptable Performance</b>               | <ul style="list-style-type: none"> <li>• Communicate and document performance concerns</li> <li>• Identify and apply appropriate actions to effectively address ongoing performance and work-habit problems</li> <li>• Identify appropriate opportunities to provide performance feedback to employees</li> </ul>  |
| <b>Mentoring Employees</b>                             | <ul style="list-style-type: none"> <li>• Define mentoring</li> <li>• Define employee development conversations</li> <li>• Apply active listening, powerful inquiry, detailed feedback, and clarification of outcomes in employee development conversations</li> <li>• Provide objective and positive suggestions to employees on appropriate office conduct and work ethics</li> <li>• Provide objective and positive suggestions on how employees may improve work proficiency and productivity</li> </ul>  |
| <b>Improving Employee Performance and Productivity</b> | <ul style="list-style-type: none"> <li>• Implement a decision-making tool for analyzing performance and closing performance gaps</li> <li>• Distinguish among the types of support to offer to employees and the optimal timing for each type of support (e.g., coaching, mentoring, and developmental counseling, instructing/teaching, and consulting).</li> <li>• Reward excellent performance</li> <li>• Address poor performance</li> </ul>   |

**Table 7. New Manager: First Year - Managing Self-Competencies**

| New Manager: First Year<br>Managing Self-Competencies |  |   |
|---|--|---|
| Managing Self-Competency                              | Definition   | Learning Objectives<br>A new manager will be able to:   |
| <b>Time Management</b>                                | Manages time effectively and strategically by analyzing goals, structuring goals into tasks, and prioritizing those tasks. Requires ability to prepare prioritized task lists, sequence and queue tasks, and estimate timeframes to effectively schedule and meet deadlines. | <ul style="list-style-type: none"> <li>Clearly define and prioritize personal and organizational goals, and eliminate unnecessary activities</li> <li>Differentiate and prioritize urgent and important tasks for action</li> <li>Recognize dependencies that should be considered when sequencing tasks</li> <li>Identify a strategic method to efficiently complete tasks within assigned timeframes</li> <li>Make sound strategic-level decisions in a timely manner</li> <li>Manage competing priorities and maintain accountability</li> <li>Recognize the value of operating as a strategic leader in both work and personal life</li> <li>Identify strategic leadership techniques to overcome work-life and personal obstacles, and how to adapt as stressors change over time</li> </ul> |
| <b>Personal Accountability</b>                        | Holds self-accountable for accomplishing measurable, high-quality, timely, and cost-effective results. Accepts responsibility for errors; complies with established control systems and rules; and plans and executes the work.  | <ul style="list-style-type: none"> <li>Model and promote personal accountability to benefit the organizational culture</li> <li>Identify and communicate key organizational goals and take ownership for goal achievement</li> <li>Apply tools and practices that accelerate greater accountability in the accomplishment of organizational goals</li> </ul>  |

**Table 8. New Manager: First Year - Managing Others Competencies**

| <b>New Manager: First Year<br/>Managing Others Competencies</b> |   |  |
|---|---|--|
| <b>Managing Others Competency</b>                               | <b>Definition</b>   | <b>Learning Objectives</b><br>A new manager will be able to:   |
| <b>Delegation (<i>Accountability</i>)</b>                       | Empowers employees by assigning tasks and granting appropriate authorities. Engages direct reports by allocating responsibilities to maximize organizational, team, and individual effectiveness. Provides appropriate resources and timely, accurate, and objective feedback on assignments. | <ul style="list-style-type: none"> <li>• Identify activities and tasks suitable for delegation</li> <li>• Delegate tasks to employees based on objective criteria (e.g., skill, experience, developmental needs and interests, workload and fairness)</li> <li>• Engage staff through effective delegation</li> <li>• Provide support, encouragement, and valuable feedback on progress towards goals</li> </ul> |
| <b>Communicating Priorities</b>                                 | Conveys information concerning important organizational objectives in written and verbal form with staff, customers, and other stakeholders. Actively listens and considers feedback.   | <ul style="list-style-type: none"> <li>• Seek and understand the sources of organizational priorities</li> <li>• Develop a deliberate approach for sharing identified priorities</li> <li>• Manage and communicate changing priorities and shifting demands</li> </ul>   |

**Table 9. New Manger: First Year - Leadership Competencies**

| <b>New Manager: First Year</b><br>Leadership Competencies |  |  |
|---|--|--|
| Leadership Competency                                     | Definition   | Learning Objectives<br>A new manager will be able to:  |
| <b>Technology Management</b>                              | Keeps up-to-date on technological developments. Makes effective use of technology to achieve results. Ensures access to and security of technology systems.  | <ul style="list-style-type: none"> <li>• Strategically prioritize investments for information technology (IT) applications and systems</li> <li>• Collaborate with IT leaders to identify system shortcomings, research options, and advocate a redesign and restructure of the process to effect positive change</li> <li>• Improve organizational ability to gather and act on data from stakeholders through online surveys and related IT tools</li> <li>• Improve organizational productivity by optimizing the use of existing IT applications for use by customers and staff</li> <li>• Apply technical knowledge of IT systems to ensure access to, and security of, the systems</li> <li>• Use IT-provided knowledge to streamline data collection processes and increase output</li> </ul> |
| <b>Leveraging Diversity</b>                               | Fosters an inclusive workplace where individual similarities and differences are valued and leveraged to achieve the vision and mission of the organization. | <ul style="list-style-type: none"> <li>• Create a diverse and inclusive environment that brings together different cultures, ideas, and experiences</li> <li>• Identify creative approaches for targeted recruiting to develop a workforce with diverse strengths that draws from all segments of society</li> <li>• Build and develop a diverse staff with a variety of skills who function effectively to accomplish the mission of the organization</li> <li>• Develop a creative initiative focused on recognizing the various dimensions of diversity to encourage inclusiveness in the workplace</li> <li>• Ensure EEO in the workplace to maintain a work environment conducive to the appreciation and support of diversity and inclusion</li> </ul>   |

| <b>New Manager: First Year</b><br>Leadership Competencies |  |   |
|---|--|---|
| Leadership Competency                                     | Definition   | Learning Objectives<br>A new manager will be able to:   |
| <b>Financial Management</b>                               | Understands the organization's financial processes. Prepares, justifies, and administers the portfolio budget. Leverages procurement and contracting to achieve desired results. Monitors expenditures and uses cost-benefit thinking to set priorities. | <ul style="list-style-type: none"> <li>• Leverage a financial management system to meet organizational objectives</li> <li>• Understand agency-wide financial procurement procedures</li> <li>• Leverage the agency's procurement system to support organizational programs, within time and budgetary constraints</li> <li>• Facilitate and assess processes, situations, and issues and corrective actions</li> <li>• Develop, justify, and manage budgets for annual projects and programs in accordance with agency guidance</li> <li>• Conduct research to determine resource needs and leverage the procurement process to acquire resources</li> </ul> |
| <b>Creativity and Innovation</b>                          | Develops new insights into situations; questions conventional approaches; encourages new ideas and innovations; designs and implements new or cutting edge programs/processes.   | <ul style="list-style-type: none"> <li>• Solicit feedback from team members in the creation of new agency initiatives and services</li> <li>• Create new methods for planning, designing, executing, and evaluating program objectives</li> <li>• Organize and lead cross-divisional work group in developing creative solutions to address problems</li> <li>• Create a system to redistribute work across units during unexpected situations</li> </ul>   |

| <b>New Manager: First Year</b><br>Leadership Competencies |  |  |
|---|--|--|
| Leadership Competency                                     | Definition   | Learning Objectives<br>A new manager will be able to:  |
| <b>Political Savvy</b>                                    | Identifies the internal and external politics that impact the work of the organization. Perceives organizational and political reality and acts accordingly. | <ul style="list-style-type: none"> <li>• Assess political issues to effectively work with Congress</li> <li>• Respond to congressional hearing inquiries</li> <li>• Ensure staff understand documentation and required metrics to analyze political issues</li> <li>• Establish a clear vision for the organization by meeting with managers agency-wide to ensure initiatives are understood</li> <li>• Address controversial political issues by conducting research and considering best practices</li> <li>• Evaluate political implications by considering different courses of action on key issues</li> </ul> |
| <b>Partnering</b>   | Develops networks and builds alliances; collaborates across boundaries to build strategic relationships and achieve common goals.                            | <ul style="list-style-type: none"> <li>• Develop, publicize, and garner support for programs and policies through constructive and influential engagements with key individuals or groups (e.g., senior leaders, colleagues, unions, employees, customers, and stakeholders)</li> <li>• Partner with offices and organizations to develop shared strategic goals and activities; coordinate to ensure consistent, constructive action and communication across organizations</li> <li>• Gain support from key leaders within the organization to ensure support for work objectives and team initiatives</li> </ul>  |

| <b>New Manager: First Year</b><br>Leadership Competencies |  |  |
|---|--|--|
| Leadership Competency                                     | Definition   | Learning Objectives<br>A new manager will be able to:  |
| <b>Human Capital Management</b>                           | Builds and manages the workforce based on organizational goals, budget considerations, and staffing needs. Ensures employees are appropriately recruited, selected, developed, appraised, and rewarded; takes action to address performance problems or misconduct. Manages a multi-sector workforce and a variety of work situations. | <ul style="list-style-type: none"> <li>• Provide strategic customer service by considering organizational goals, timeframes for achieving goals, and staff responsibilities</li> <li>• Analyze staffing needs and develop strategy to address recruitment needs</li> <li>• Provide learning and development opportunities to employees based upon individual employee needs, as well as organizational needs</li> <li>• Leverage agency incentive/reward programs to recognize and retain high-performing and/or critical employees and suggest ways to improve incentives and rewards</li> <li>• Identify creative strategies to overcome resource limitations in order to recruit and retain employees with the required skills and qualifications</li> <li>• Identify mission-critical occupations and associated competencies needed to perform organizational functions</li> <li>• Review and update position descriptions and performance plans</li> </ul> |

**Table 10. Experienced Manager - Managing Self Competencies**

| <b>Experienced Manager<br/>Managing Self-Competencies</b> |  |   |
|---|--|---|
| <b>Managing Self-Competency</b>                           | <b>Definition</b>  | <b>Learning Objectives</b><br>An experienced manager will be able to:   |
| <b>Emotional Intelligence (EI)</b>                        | Possesses the social competence involving the ability of a person to monitor and understand his/her emotions and the emotions of others and then to use this information to inform the person’s thinking and actions.  | <ul style="list-style-type: none"> <li>• Identify EI fundamentals</li> <li>• Identify key attributes of EI leaders</li> <li>• Identify internal and external stimuli that influence EI</li> <li>• Recognize the value of managing emotions in the workplace</li> <li>• Recognize and successfully manage self-conscious emotions</li> <li>• Promote healthy relationships in the workplace</li> <li>• Respond productively to workplace pressures</li> <li>• Identify and respond effectively to the emotions of others</li> <li>• Assess current and desired levels of EI proficiency</li> </ul> |
| <b>Adaptability (Flexibility)</b>                         | Remains flexible and open to new ideas, and models behavior that encourages others to value flexibility. Adjusts behavioral and/or leadership style or approach necessary to achieve a goal. Responds to change with a positive attitude and a willingness to learn. | <ul style="list-style-type: none"> <li>• Identify personal barriers to adaptability</li> <li>• Identify situations that require a change in approach, and adapt accordingly</li> <li>• Develop tools and approaches to manage and react to changing circumstances</li> <li>• Analyze the changing environment and model a positive attitude towards change to influence the flexibility of others.</li> <li>• Adjusts timelines, results and expectations appropriately to changing circumstances</li> </ul>  |

**Table 11. Experienced Manager - Managing Others Competencies**

| <b>Experienced Manager<br/>Managing Others Competencies</b> |  |   |
|---|--|---|
| <b>Managing Others Competency</b>                           | <b>Definition</b>  | <b>Learning Objectives</b><br>An experienced manager will be able to:   |
| <b>Fostering Employee Engagement</b>                        | Guides, inspires and motivates staff to meet challenges and achieve objectives. Promotes employee ownership and responsibility for desired outcomes. | <ul style="list-style-type: none"> <li>• Recognize the importance of the Federal Employee Viewpoint Survey (FEVS) and how to leverage EVS data to increase engagement within your organization</li> <li>• Identify the factors that influence employee engagement and employee disengagement within your team and organization</li> <li>• Identify and address employee disengagement issues and implement appropriate solutions</li> <li>• Develop high-trust relationships within and across teams</li> <li>• Undertake a candid and accurate self-assessment to measure their own level of engagement or disengagement</li> <li>• Design and implement a meaningful personal action plan to improve personal engagement</li> <li>• Assist employees in identifying and obtaining diverse experiences to address their developmental needs</li> <li>• Provide periodic information and observations that will enhance and optimize employee performance through their optimal discretionary effort</li> </ul> |

| <b>Experienced Manager</b><br><b>Managing Others Competencies</b> |  |   |
|---|--|---|
| <b>Managing Others Competency</b>                                 | <b>Definition</b>  | <b>Learning Objectives</b><br>An experienced manager will be able to:   |
| <b>Developmental Coaching and Feedback (Developing Others)</b>    | Evaluates and addresses the developmental needs of employees and assists them in selecting learner-centric diverse experiences to gain necessary skills. | <ul style="list-style-type: none"> <li>• Identify opportunities for employees' development</li> <li>• Prepare an individual development plan</li> <li>• Encourage employees to take ownership and responsibility for their personal improvement and development</li> <li>• Listen actively to employee concerns and consider employee perspectives with an open mind, avoiding interference from the manager's internal filters, biases, or preferred approaches</li> <li>• Plan, prepare and implement a coaching session</li> <li>• Ask powerful and enabling questions, and provide constructive feedback</li> <li>• Communicate observations that are grounded in behaviors and facts</li> <li>• Communicate high expectations, provide necessary resources, follow-up periodically to assess progress</li> <li>• Work through any resistance to coaching by continuing to ask questions while resisting the impulse to provide advice for every situation</li> </ul> |

**Table 12. Experienced Manager - Managing Organizational Systems Competencies**

| <b>Experienced Manager<br/>Managing Organizational Systems Competencies</b> |  |   |
|---|--|---|
| <b>Managing Organizational Systems Competency</b>                           | <b>Definition</b>  | <b>Learning Objectives</b><br>An experienced manager will be able to:   |
| <b>Program Management</b>   | Applies knowledge, skills, and techniques to execute programs effectively and efficiently.   | <ul style="list-style-type: none"> <li>• Define a program's scope and objectives</li> <li>• Identify key critical success factors</li> <li>• Identify key stakeholders whose support and/or buy-in are critical for program success</li> <li>• Identify and obtain necessary resources and assign responsibilities</li> <li>• Identify key program elements and tasks</li> <li>• Develop a program schedule</li> <li>• Monitor program status and take appropriate corrective actions</li> <li>• Communicate/and or report program status and issues to senior leadership and other key stakeholders</li> </ul> |
| <b>Change Management</b>  | Defines and instills values, attitudes, norms, behaviors, and steps within an organization that support strategic approaches for accomplishing work and overcoming resistance to change. | <ul style="list-style-type: none"> <li>• Recognize when change is necessary, and strategically plan agency and organizational change initiatives</li> <li>• Recognize effective approaches to lead organizational change</li> <li>• Create and communicate a vision for change, including how it will impact the organization</li> <li>• Articulate the intended result of the change process</li> <li>• Demonstrate commitment and support for change</li> </ul>   |

| <b>Experienced Manager</b><br><b>Managing Organizational Systems Competencies</b> |   |   |
|---|---|---|
| <b>Managing Organizational Systems Competency</b>                                 | <b>Definition</b>   | <b>Learning Objectives</b><br>An experienced manager will be able to:   |
| <b>Systems Thinking</b>   | Possesses the ability to collectively assess interrelationships, interconnectedness, and patterns of change across different domains in complex situations.                         | <ul style="list-style-type: none"> <li>• Describe systems thinking and systems thinking methodology</li> <li>• Apply practical systems thinking approaches to solve complex problems</li> <li>• Assess the impact of policies and decisions that relate to organizational growth, stability, and performance</li> <li>• Recognize how organizational culture can impact different positions, organizational work units, and teams.</li> <li>• Identify relationships and patterns using management and organizational diagnostic tools</li> <li>• Understand systems thinking as it relates to leading organizational change efforts</li> <li>• Recognize barriers to change from within oneself, from others, and from the organizational environment</li> </ul> |
| <b>Complex Decision-Making (Decisiveness)</b>                                     | Approaches complicated, ambiguous challenges by developing effective viable solutions intended to drive organizational effectiveness and promote buy-in with affected stakeholders. | <ul style="list-style-type: none"> <li>• Break down decisions into manageable parts, analyze possible alternatives, use available information and consider decision-makers' preferences</li> <li>• Meet challenges by analyzing problems and determining criteria to create successful outcomes while minimizing risks</li> <li>• Develop multiple options or approaches to address the challenges</li> <li>• Apply and design effective decision-making processes</li> <li>• Assess the potential impacts and associated risks of each option</li> <li>• Select, implement and evaluate an optimal decision based on desired outcomes, value, costs, and risks</li> </ul>  |

**Table 13. Experienced Manager - Leadership Competencies**

| Experienced Manager<br>Leadership Competencies |  |   |
|--|--|---|
| Leadership Competency                          | Definition   | Learning Objectives<br>An experienced manager will be able to:  |
| <b>Resilience</b>                              | Deals effectively with pressure; remains optimistic and persistent, even under adversity. Recovers quickly from setbacks.                  | <ul style="list-style-type: none"> <li>• Demonstrate persistence when providing rationale to staff during times of significant organizational challenges</li> <li>• Respond to setbacks by developing alternative approaches to determine the best course of action</li> <li>• Maintain unit's effectiveness, quality, and morale during organizational and environmental challenges</li> <li>• Maintain commitment and execution of projects, even when faced with changing objectives, deliverables, and deadlines</li> <li>• Develop creative and alternative strategies to achieve objectives, using available resources, when faced with significant budget limitations</li> </ul>   |
| <b>Influence/Negotiating</b>                   | Persuades others; builds consensus through trust and compromise; gains cooperation from others to obtain information and accomplish goals. | <ul style="list-style-type: none"> <li>• Develop trust and convince senior leaders, colleagues, and other stakeholders (including customers) to obtain information and accomplish goals</li> <li>• Influence external executive decision-makers and stakeholders to achieve substantive goals</li> <li>• Negotiate with leaders for organizational changes (including reorganization or budget reallocation)</li> <li>• Lead a team of experts to provide advice on, build credibility for, and influence a multi-level negotiation process</li> <li>• Persuade manager to change leadership position or approach to better fit a situational need</li> <li>• Facilitate agreements with other organizations and contractors to accomplish goals</li> </ul> |

**Table 14. Senior Manager - Leadership Competencies**

| Senior Manager<br>Leadership Competencies |  |  |
|---|--|--|
| Leadership Competency                     | Definition   | Learning Objectives<br>A senior manager will be able to:   |
| <b>External Awareness</b>                 | Keeps current 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. | <ul style="list-style-type: none"> <li>• Understand the external environment and external stakeholders who impact decisions</li> <li>• Take into account multiple, diverse views and needs of other organizations or external organizations</li> <li>• Reflect industry best practices in the development of agency-wide policies and procedures</li> <li>• Synthesize complex information gathered from a variety of external sources, and disseminate to staff</li> </ul>  |
| <b>Strategic Thinking</b>                 | 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.        | <ul style="list-style-type: none"> <li>• Conduct review of the agency's core mission and gathers information from relevant sources to support development of a strategic plan</li> <li>• Lead and direct a strategic planning team to address and outline the future direction of an organization</li> <li>• Identify and develop strategic goals, objectives, and supporting strategies</li> <li>• Establish strategic performance measures to allow the organization to continually assess and adjust program direction</li> </ul> |

| Senior Manager<br>Leadership Competencies |  |   |
|---|--|---|
| Leadership Competency                     | Definition   | Learning Objectives<br>A senior manager will be able to:  |
| <b>Entrepreneurship</b>                   | 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. | <ul style="list-style-type: none"> <li>• Assess customer needs, and develop innovative products and services to address recommendations</li> <li>• Take calculated risks by creating new and innovative business lines and approaches</li> <li>• Conduct research, and develop associated business proposals resulting in a high return on investment</li> <li>• Create a new product, service, or policy based on requirements submitted by users</li> <li>• Make recommendations on investment in emerging technologies to produce new products</li> </ul>  |
| <b>Vision</b>                             | 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.  | <ul style="list-style-type: none"> <li>• Understand the agency’s vision and how the manager’s portfolio aligns with that vision</li> <li>• Consider various viewpoints from internal and external sources when developing new organizational mission and vision</li> <li>• Direct and provide guidance to employees to develop long-term strategic plan for the division</li> <li>• Conduct workshop with employees, human resources staff, and customers to build a shared vision</li> <li>• Acknowledge organizational strengths and develop a plan to address areas needing improvement</li> <li>• Communicate vision and mission of new organizations to employees while incorporating employee feedback for ideas on accomplishing new goals and objectives</li> </ul> |

**Appendix 3. Executive Core Qualifications (ECQs)**

OPM has identified five executive core qualifications (ECQs). The executive core qualifications define the competencies needed to build a federal corporate culture that drives for results, serves customers, and builds successful teams and coalitions within and outside the organization. The Executive Core Qualifications are required for entry to the Senior Executive Service and are used by many departments and agencies in selection, performance management, and leadership development for management and executive positions. The ECQs were designed to assess executive experience and potential-not technical expertise.

| Leading Change  | Leading People   | Result Driven  | Business Acumen   | Building Coalitions  |
|---|--|--|---|--|
| <b>Definitions</b>  |  |  |   |  |
| 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. | 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. | 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. | This core qualification involves the ability to manage human, financial, and information resources strategically.                             | This core qualification involves the ability to build coalitions internally and with other Federal agencies, State and local governments, non-profit and private sector organizations, foreign governments, or international organizations to achieve common goals |
| <b>Competencies</b>   |  |  |   |  |
| <ul style="list-style-type: none"> <li>• Creativity &amp; Innovation</li> <li>• External Awareness</li> <li>• Flexibility</li> <li>• Resilience</li> <li>• Strategic Thinking</li> <li>• Vision</li> </ul>  | <ul style="list-style-type: none"> <li>• Conflict Management</li> <li>• Leveraging Diversity</li> <li>• Developing Others</li> <li>• Team Building</li> </ul>  | <ul style="list-style-type: none"> <li>• Accountability</li> <li>• Customer Service</li> <li>• Decisiveness</li> <li>• Entrepreneurship</li> <li>• Problem Solving</li> <li>• Technical Credibility</li> </ul>   | <ul style="list-style-type: none"> <li>• Financial Management</li> <li>• Human Capital Management</li> <li>• Technology Management</li> </ul> | <ul style="list-style-type: none"> <li>• Partnering</li> <li>• Political Savvy</li> <li>• Influencing/Negotiating</li> </ul>   |

**Appendix 4. ECQs Competency Definitions**

**ECQ 1: Leading Change**

| <b>Creativity &amp; Innovation</b>   | <b>External Awareness</b>   | <b>Flexibility</b>  | <b>Resilience</b>   | <b>Strategic Thinking</b>   | <b>Vision</b>   |
|--|---|---|---|---|---|
| Develops new insights into situations; questions conventional approaches; encourages new ideas and innovations; designs and implements new or cutting edge programs/processes. | 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. | Is open to change and new information; rapidly adapts to new information, changing conditions, or unexpected obstacles. | Deals effectively with pressure; remains optimistic and persistent, even under adversity. Recovers quickly from setbacks. | 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. | 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. |

**ECQ 2: Leading People**

| <b>Conflict Management</b>  | <b>Leveraging Diversity</b>   | <b>Developing Others</b>  | <b>Team Building</b>  |
|---|---|---|---|
| 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. | Fosters an inclusive workplace where diversity and individual differences are valued and leveraged to achieve the vision and mission of the organization. | 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. | Inspires and fosters team commitment, spirit, pride, and trust. Facilitates cooperation and motivates team members to accomplish group goals. |

**ECQ 3: Results Driven**

| Accountability  | Customer Service   | Decisiveness  | Entrepreneurship  | Problem Solving  | Technical Credibility  |
|---|--|---|---|--|--|
| <p>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.</p> | <p>Anticipates and meets the needs of both internal and external customers. Delivers high-quality products and services; is committed to continuous improvement.</p> | <p>Makes well-informed, effective, and timely decisions, even when data are limited or solutions produce unpleasant consequences; perceives the impact and implications of decisions.</p> | <p>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.</p> | <p>Identifies and analyzes problems; weighs relevance and accuracy of information; generates and evaluates alternative solutions; makes recommendations.</p> | <p>Understands and appropriately applies principles, procedures, requirements, regulations, and policies related to specialized expertise.</p> |

**ECQ 4: Business Acumen**

| Financial Management   | Human Capital Management  | Technology Management  |
|--|---|--|
| <p>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.</p> | <p>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.</p> | <p>Keeps up-to-date on technological developments. Makes effective use of technology to achieve results. Ensures access to and security of technology systems.</p> |

**ECQ 5: Building Coalitions**

| Partnering   | Political Savvy   | Influencing/Negotiating  |
|--|---|--|
| <p>Develops networks and builds alliances; collaborates across boundaries to build strategic relationships and achieve common goals.</p> | <p>Identifies the internal and external politics that impact the work of the organization. Perceives organizational and political reality and acts accordingly.</p> | <p>Persuades others; builds consensus through give and take; gains cooperation from others to obtain information and accomplish goals.</p> |

## Appendix 5. Fundamental Competencies

Competencies are the personal and professional attributes that are critical to successful performance in the SES. The fundamental competencies are the attributes that serve as the foundation for each of the Executive Core Qualifications. Experience and training that strengthen and demonstrate the competencies will enhance a candidate's overall qualifications for the SES.

| Interpersonal Skills   | Oral Communication   | Integrity/Honesty  | Written Communication   | Continual Learning  | Public Service Motivation   |
|--|--|--|---|---|---|
| Treats others with courtesy, sensitivity, and respect. Considers and responds appropriately to the needs and feelings of different people in different situations. | Makes clear and convincing oral presentations. Listens effectively; clarifies information as needed. | Behaves in an honest, fair, and ethical manner. Shows consistency in words and actions. Models high standards of ethics. | Writes in a clear, concise, organized, and convincing manner for the intended audience. | Assesses and recognizes own strengths and weaknesses; pursues self-development. | Shows a commitment to serve the public. Ensures that actions meet public needs; aligns organizational objectives and practices with public interests. |

