

- ▶ Special incentives are offered to retain individuals in the Office of the Inspector General who possess specialized knowledge and expertise that is particularly valuable in the private sector. Similarly, the Bureau of Prisons uses retention bonuses to keep valuable employees in “hard to fill” positions and in “hard to fill” locations.
- ▶ Special assignments of extremely complex and interesting litigation have been used to retain Senior Level Attorneys in the Tax Division. A cadre of highly talented attorneys have been recruited and retained by assigning them extremely complex cases that are intrinsically motivating to these attorneys. These individuals are highly sought in the private sector and retaining them is important to the government to ensure the best quality legal capabilities are representing the United States Government.
- ▶ Work-Life Balance is being addressed in the Criminal Division as an element (with others such as leadership development and mentoring) to assist in retaining valuable employees. The Division established a Management Advisory Council that has created work groups to study this issue and make recommendations to the Assistant Attorney General for implementation of work-life balance initiatives.
- ▶ Office of Preference Program (OPREF), developed by the USMS, allows law enforcement employees to submit their names for consideration for lateral movement into positions in a different geographical area. When vacancies occur in an office, the manager can select from the OPREF list rather than initiate a recruit action. It gives employees the opportunity to move to desirable locations. The USMS is also in the process of expanding the OPREF program to other occupational series.

Recruiting Initiatives

The vast majority of leaders and executives in DOJ are selected and promoted from the ranks of DOJ employees in the same organization. Supervisors are selected from the pool of qualified employees, managers from qualified supervisors and executives from qualified managers. The most essential action to ensure that the DOJ leadership pipeline is filled with qualified candidates is to recruit into the more general pool of employees. The larger Components are in continuous recruiting cycles to find qualified employees and to fill the pipeline in the key occupations in the organizations. Much of the recruiting takes place at colleges, universities, and law schools across the United States. Several Components have increased recruiting efforts in areas and at schools where a larger number of minorities are located to increase the diversity of the candidate pool. The FBI, for example, has set aside a number of entry-level positions to be filled using a new university direct hire program. Some Components have prepared to recruit from the large number of military personnel likely to be returning to civilian life who have developed interests and competencies in law enforcement and medical specialties. Components have also increased their recruiting using USA Jobs, online ads and virtual job fairs, college job fairs, traditional print ads, and DOJ and OPM sponsored job fairs. Some Components have begun recruiting outreach to individuals leaving the military and recruiting through professional associations for occupations requiring specialized training.

In addition, some Components with offices located in areas where it is difficult to fill positions, have focused on recruiting from the local pool of candidates. Examples of locations to where it may be difficult to recruit individuals from other areas include high cost areas such as New York City and Los Angeles, and less populous places, often with more extreme climates, where individuals not from that area may not wish to relocate. Recruiting individuals from within these areas, with families, support systems and living arrangements already in place, is more likely to

result in more satisfied employees and greater retention. BOP and USMS have both used these approaches to increase recruiting success. BOP has also used incentive bonuses for recruiting and relocation to hard to fill locations. DOJ recognizes that the projected retirement and separation rates will result in the need to recruit and train many more individuals at the entry levels to support the larger number of promotions within these organizations.

Some Components have determined that word of mouth is an important aspect of their recruiting program. Current employees often tell their families and friends about how it is to work for their organization. This word travels fast and far and the reputation of an organization as a good or bad place to work can impact the ability to recruit good candidates. Some Components are working to get people hired faster, knowing that they lose good prospects who cannot afford to wait months for a job. Others are using more realistic job previews to ensure that potential recruits understand the nature of the job before they accept a position for which they are not well-suited and would be likely to leave.

- ▶ Management Preference Profile is an example of a tool developed by the Bureau of Prisons to assist managers with succession planning. Each GS-11 and above can indicate their future plans and goals for positions and locations, so that there is a known pool of potential candidates for managers to consider as positions are opening up. Filling positions in high cost areas is a big issue for BOP, therefore it is important to identify capable and qualified individuals that actually want to go to these areas and are interested in these positions. This also allows BOP to ensure that interested individuals are notified regarding positions and opportunities in which they are particularly interested.

Assessing Leadership Competencies

DOJ has a small number of large Components that have programs in place to assess and develop leadership based on competency models. The most comprehensive program is conducted by the FBI, which has a competency based assessment and leadership development program in place. During the past three years, FBI has assessed 2,923 Agents for leadership positions. These GS 14 and GS 15 Agents were afforded the FBI's official Leadership Skills Assessment tool. There are currently 1,187 Professional Staff employees serving in GS 13-15 Supervisory roles within the FBI. Their leadership skills are assessed by their direct Supervisors and other managerial employees as well as during FBI Inspection processes where subordinates are allowed to assess supervisors. Persons performing well are acknowledged and adverse actions occur for those leaders who are not performing in an effective and efficient manner.

The DEA also conducts an annual Special Agent Assessment Program (an assessment center held at its training center) for GS-13 and GS-14 agents who are interested in advancement and understanding their strengths and weaknesses for developmental purposes.

For many years, the USMS has assessed leadership competencies for employees seeking to promote into senior positions. USMS has used Assessment Center and Structured Interview tools to evaluate skill levels for applicants to the GS13, 14 and 15 grade levels. Currently the USMS assesses competencies through structured interviews for all applicants to the 14 and 15 levels. Consideration is being given to reintroducing competency assessment at the GS13 level.

ATF's leadership competency model is used in the development and delivery of all leadership training and development programs and as part of their Merit Promotion Board interviewing

process. ATF conducts biennial Special Agent Assessment Centers for GS-13 and GS-14 agents to assess their skills against ATF's leadership and technical competencies for promotion purposes and further development. In addition, in two of its core leadership classes, ATF uses a customized 360-degree assessment instrument to measure leadership competency strengths and weaknesses.

As described above, DOJ pilot tested the use of the FCAT-M for assessing leadership competencies in four Components. This program appears to have promise and, if the OPM continues to make the FCAT-M available to Federal organizations, DOJ intends to broaden its use and organize its leadership development programs around its use. There remains a great deal of work to be done to map DOJ leadership positions to the necessary leadership competency expertise levels. Similarly, while leadership development courses, seminars, activities, and programs abound, both within and outside of the Federal Government, not all have been mapped to the OPM leadership framework and few still have been thoroughly evaluated for effectiveness in developing the identified leadership competencies.

Leadership Development

DOJ-Wide Leadership Development Programs

There are many on-going leadership development programs and activities throughout the DOJ ranging from the mandatory supervisor and manager courses required for every new supervisor and manager, to long-term internships and fellowships. The Department has several new initiatives to bridge some of the gaps, particularly for the smaller Components that may not realize the economies of scale necessary to create a full range of programs for themselves. By establishing this Succession Plan, DOJ strives to adhere to the Federal laws, regulations, and guidance set forth to ensure a strong learning environment that supports ongoing training and development of both current and future leaders. DOJ plans to follow OPM's Guidelines for Managerial Development in carrying out and evaluating its leadership development initiatives.

The Department has attempted to identify successful programs already in place in one or more Components and broaden them to cover the entire Department. In addition, DOJ has initiated several pilot programs with the idea that these might be applied across the Department, if successful. Those pilot programs and some of the more notable new programs being implemented by Components are presented below.

- ▶ Leadership Excellence and Achievement Program (LEAP) is DOJ-wide 12-month program that provides training in the foundations of management and supporting developmental experiences. Its purpose is to prepare high potential employees for higher-level management and leadership positions within DOJ. Employees at the GS 13—GS 14 level apply and are selected by a panel of senior leaders. The program includes assessments, course work, developmental assignments and mentoring.
- ▶ SES Candidate Development Program was conducted during FY2004-2006. Participants experienced leadership and competency assessments, residential training, developmental assignments and are mentored throughout the program. To date 15 of 33 DOJ leaders certified through this program have been selected for SES positions.
- ▶ Executive Coaching is a new program in which newly selected executives can receive on-the-job coaching. The executive and coach form a professional relationship which focuses on the needs and growth of the executive. Discussions center around real life

executive-level situations and experiences such as conflict resolution; performance management; political savvy; and strategic thinking.

- ▶ Mentoring Guidelines are under development for distribution throughout the DOJ for use in leadership development and succession management programs. Mentoring has been recognized as a powerful tool in succession management over a number of years. Mentoring allows for an interpersonal interaction that can be very meaningful and tailored to the specific situations that leaders share. The success of mentoring can also be hit or miss depending on the personalities and competencies of the participants. DOJ is adopting a set of mentoring guidelines to assist those using mentoring as a succession management tool to increase the likelihood of success. These guidelines help to establish the basis for the mentoring process, ground rules for interactions, guidance for how the participants should prepare, and expectations for the process.
- ▶ Learning Management System (LMS) is a DOJ initiative (related to leadership development) to cover all DOJ employees under a Learning Management System (LMS). A LMS can provide the ability to record training histories and also offer much more, including catalogs of training and development opportunities mapped to competencies. The ability to create an Individual Development Plan (IDP) is another LMS feature that can be very helpful in building a leadership development system that serves a multitude of purposes. It will be very useful to the Components and the Department if development requirements can be captured from IDPs in a LMS, rolled up and used to identify and allocate development resources. Data from a LMS will assist in determining the breadth and depth of leadership development activities, an estimate of the costs, and the ability to identify the unfunded backlog of needed development. A LMS will also support better evaluation of the development activities and the results and organizational outcomes of these investments.

Component Leadership Development Programs

The DOJ Components have also created a number of leadership development programs that they are using to prepare leaders for senior management and executive levels. The largest amount of on-going leadership development is taking place, not surprisingly, in the largest Components. The FBI has been conducting an extensive leadership development program for a number of years. The ATF and DEA also have on-going programs that provide a great deal of leadership development to their leaders. Appendix D shows the breadth of these long-standing programs along with numbers of leaders receiving development in DOJ and select Component programs in FY 2007. Several newly created initiatives are highlighted below.

- ▶ Auditor Leadership Development Program was developed by the Office of the Inspector General for auditors. The program is intended to broaden participants and provide them with a strategic perspective of their organization and DOJ. Interested GS-12s and 13s are encouraged to apply and no more than five participants are selected on a competitive basis by senior management. The program is an eight-month intensive program consisting of formal classes, special projects and rotational assignments. The rotational assignments are the heart of the program requiring:
 - ◆ A two month rotational assignment in a regional office other than their home office in a supervisory role;
 - ◆ A two month rotation in the Office of Operations;
 - ◆ A one month assignment in the Office of Policy and Planning, and,

- ◆ A three month rotation in the offices of Information Technology, Financial Statement, and Advanced Audit Techniques.

Special projects are assigned by the Assistant Inspector General. Participants must successfully complete five formal courses provided by either the American Management Association or the Federal Executive Institute.

- ▶ Leadership Enhancement and Development (LEAD) is a BOP program that GS-9 and above employees can apply. Participants are selected by senior leaders based on current job performance and leadership potential. The 18-month program consists of on-the-job training, mentoring, job sharing, high level executive training courses, and special projects. Since the inception of the LEAD Program in 2002, there have been a total of 296 graduates. Currently, there are 198 active participants. Of eligible staff, active participation is 12.4% for their GS-15's and SES.
- ▶ ATF Candidate Development Program is an 18-month OPM-SES CDP program designed to train, develop and certify individuals who exhibit outstanding executive potential for SES positions within ATF. The program includes participant assessments, coursework, developmental assignments and mentoring. So far, 15 individuals have been certified through this program, and of these, 13 have been selected for SES positions. An additional 26 candidates began the program in FY 2007.
- ▶ Workforce Planning System (WPS) is another innovative program developed by the Bureau of Prisons in which senior leadership assesses GS-14s and above employees for leadership potential. They consider work history, acquire 360 degree feedback, and review training histories and education in identifying individuals for leadership development opportunities similar to those in the LEAD program.
- ▶ The ATF Special Agent Leadership Enhancement Program was piloted in 2005 and 2006 as a supervisory development program for non-supervisory senior level Special Agents (GS-13). This program consists of coursework, assessments, developmental assignments, coaching, and mentoring.
- ▶ The Office of Justice Programs Mentoring Program was recently developed to offer opportunities for employees to partner with key leaders in a formal year-long program. Participants receive a self-assessment and feedback, create leadership development plans designed to focus on agency and individual goals, and work in team to address agency challenges using Action Learning problem solving techniques.
- ▶ The Office of Attorney Recruitment and Management's Attorney Mentoring Program was established in 2003 to provide mentors for attorneys entering the Department with less than five years of experience. The mentors selected to mentor the attorneys gain valuable leadership experience in coaching, management, and communication skills, while helping to develop less experienced attorneys. Over 300 mentors in the Department's litigating divisions have gone through this program, and it is now being expanded to all the U.S. Attorney Offices' across the U.S.

Section 4: Implementation of Succession Plan

All of the programs and initiatives described above in the succession plan are currently underway in one or more Component. The DOJ has taken the approach that it is wiser to start many smaller programs within the Components and spread those that are effective than to jump

into a grand design of large, Department-wide programs that have not been piloted and do not have advocates and experts in the Components. To support the cross-fertilization, evaluation and dissemination of these programs and ideas, DOJ has formed three cross-Component groups. The first is the Human Capital Council (HCC), comprised of the HR directors from each Component. The second is the Workforce Planning Council (WPC) consists of representatives of the Components who are directly involved in strategic human capital planning. The third is the Learning and Development Council (LDC), composed of Component Training Officers who are responsible for developing, implementing and evaluating leadership development activities in their respective organizations. The HCC developed the DOJ Human Capital Strategic Plan and oversees the human capital planning activities. The WPC is involved in developing the workforce plans, recruiting plans, and this Succession Plan. The LDC works in concert with the other two Councils to ensure appropriate leadership development interventions are in place to address future succession planning goals.

Within the three planning bodies, the member present and discuss existing and planned human capital programs. They also discuss which programs have the potential to become DOJ-wide programs and how to implement such programs. DOJ allows for flexibility by the Components for which programs they can accommodate and adopt and how rapidly they can be implemented.

An aspect of all three councils is that they brief their organization's leaders on the workforce and succession issues facing them and build the support of their leaders for the plans and programs necessary to ensure adequate numbers of competent leaders in the future.

- ▶ Implementation of LMS. The move toward a DOJ-wide LMS is a good example of a Component-specific approach being expanded throughout the Department. A few Components have implemented a LMS and have experience with different systems and vendors. In September 2007, a decision was made to expand ATF's LMS to accommodate those Components without a LMS. The implementation of this expanded system began in November 2007 and the first wave of Components to fully use the LMS will occur by January 2008. There will be many smaller steps along the implementation path, including training for all employees in how to use the LMS to access their training histories, and for the supervisors in how to use it related to performance management and competency development. It will also take some time to populate the LMS with any necessary legacy data, and to create the maps between competencies and available development resources.
- ▶ Assessing Leadership Competencies. The pilot program using the FCAT-M in four Components is another program that will be expanded to additional Components over the next few years. If OPM continues to offer the FCAT-M, several new Components are expected to have their leaders participate in the next time the FCAT-M is made available. The DOJ goal is to move from 10% participation to 30% participation in FY 2008. The Department is encouraging every Component to create a program to assess their leaders, at least bi-annually, against the leadership competencies and to involve their leaders in leadership development programs targeted at their competency gaps. The DOJ will also ask each Component to determine which leadership competencies their leadership development programs are intended to enhance. Similarly, as leadership development offerings are added to the LMS catalogs, specific competencies on which the offerings are targeted should be identified. Components, such as the FBI, with existing leadership assessment programs will not be asked to change, but will be asked to map their competency framework to the DOJ framework.

- ▶ Broadening the Reach of LEAP. While LEAP is a DOJ-wide leadership development opportunity, not every Component was able to participate. The Department will continue to share information with all of the Components about the availability of LEAP and to encourage broader participation. DOJ leadership has committed to increased funding to support the broadening of LEAP throughout the Department.
- ▶ SES Candidate Development Program. Like LEAP, the SES CDP is available to individuals across the Department. As the candidate pool becomes depleted, DOJ will consider announcing another program and encourage Components to participate.
- ▶ Leadership Executive Coaching. DOJ will evaluate (see Evaluation Section below) the effectiveness of the coaching program it is sponsoring to determine if it should be continued, and for whom it is most effective. If the evaluation indicates a positive benefit that outweighs the cost, the program will be extended and the Department will fund the program DOJ-wide.
- ▶ Mentoring Guidelines. Many programs throughout the Department include mentoring as part of their leadership development approach. Mentoring can be an effective tool for developing leaders, and the Department wants to increase the probability of success for these programs by developing and distributing mentoring guidelines. These guidelines will be adapted as mentoring increases and is evaluated for its effectiveness. The Department is encouraging each Component to examine its mentoring programs to ensure that the mentoring guidelines are in effect. Also, as new programs that include mentoring are developed, the Department will ask the Components to incorporate the mentoring guidelines.
- ▶ Retention and Recruitment Initiatives. The wide variety of ideas and methods being undertaken in different Components for retaining good employees and leaders, and those for improving recruitment of good candidates are being shared across the Departmental Components. These approaches are being evaluated and those that are successful will be spread and adapted for use in other Components.

Communication of the Succession Plan

One of the principal purposes of this Succession Plan is to serve as a communication tool for DOJ leadership. The members of the HCC, WPC, and LDC will be distributing the Succession Plan to their leaders and will be asked to provide a briefing to their leaders on the principal succession planning issues, initiatives, and targets covered in this plan. In addition, JMD will disseminate the core messages in this plan to the entire DOJ workforce by means of its communication channels (e.g. newsletter, website, Justice Consolidated Office Network) and through the Components. A critical audience for the information in this plan is DOJ employees who have the potential to be the DOJ leaders of the future. It is important that they understand that they are valued, that their organization wants them to stay and grow, and—most importantly—how they can go about taking advantage of developmental opportunities provided by DOJ. The JMD will work with the HCC, WPC and LDC to create these messages and ensure that the target audience is reached. JMD, HCC, WPC, and LDC will also work together to promote succession planning investments from DOJ leadership and to be efficient and inclusive in using these investments to further the development of DOJ leadership.

Section 5: Evaluation

While evaluating the results of this plan is an important element in holding DOJ and its Components accountable for doing the requisite succession planning under the President's Management Agenda and the OPM "Proud To Be" directives, the more important purpose of evaluating the results of succession planning is to improve succession programs and achieve the necessary leadership outcomes to support DOJ mission. Therefore, evaluation is continuous and should lead to successive evolution and adaptation of leadership succession management programs that become more effective and efficient.

It is a goal of JMD to have DOJ's executive corps attuned to leadership succession issues and to be interested and committed to monitoring the results of the programs described above. The results of evaluating these programs will be documented and provided to the leadership of DOJ's Components, and the HCC, WPC, and LDC will be asked to brief their leadership on the results.

Evaluating Succession Targets

Evaluating the Number of Leaders

The first step in evaluating DOJ's accomplishment of succession targets is to track the number of leaders leaving the organization, both due to retirement and separating for other reasons. This will provide answers to two questions: Are we doing a better job of retaining leaders? Are our projections of the numbers leaving accurate? A corollary element to track is how well we are doing in backfilling leadership positions. This would include monitoring how quickly leadership vacancies are being filled and whether problems filling positions are noted.

Evaluating Leadership Readiness

The second step in evaluating our ability to meet succession targets is to evaluate the readiness gap in leadership over time. This is much more difficult than tracking the number of leaders. It requires a method for measuring leadership competencies and for using this method longitudinally to determine changes. The DOJ program to broaden the use of the FCAT-M to measure leadership competencies is the first step in tracking the readiness gap. We will track the number of Components adopting this methodology, will encourage each Component to assess its leaders using the FCAT-M at least every other year, and will track and report the longitudinal results from this program. It should be possible to see changes over time by Component in the readiness gap of leaders (both in leadership positions and in candidate pools) using this methodology. This type of evaluation is crucial for supporting the business case for leadership succession management.

Evaluating Retention and Recruiting

As described above, retention and recruitment are important elements of leadership succession management for DOJ in several ways. Retention, is particularly important, because if competent leaders can be retained the need for new leaders and the resources to develop them is reduced. It was noted above that retaining high quality employees below leader levels is important because they are the largest pool of potential leaders. Retaining a high quality pool will lead to more qualified candidates for leadership positions. The HCC and WPC will report on their retention initiatives and share lessons learned so that other Components can improve their retention programs.

Similarly, Components will share their recruiting initiatives and report on their effectiveness (and related lessons learned) so that the entire DOJ can benefit from these pilot programs. Improving recruiting, like retention initiatives, has the potential to improve the overall quality of the workforce and maintain—and possibly improve—the candidate pool for leadership positions. With leaders separating in high proportions, it is crucial to maintain an adequate pool of journey-level workers.

Evaluating Leadership Development

Leadership development has the potential to be the most expensive investment the DOJ will make in leadership succession management. The expense of leadership development is not just the cost of a course or instructor, but also includes the time that leaders are away from their jobs (opportunity cost). However, it has the potential to motivate and encourage leaders as well as show them the readiness gaps in their own leaders and organization. It is very important that DOJ's top leaders take leadership development seriously, make an adequate investment, and have the commitment to follow through, maintain these programs, and support their outcomes. It is also important that DOJ adhere to all Federal laws, rules, regulations and guidelines in carrying out its leadership initiatives.

The JMD will work with the HCC, WPC and LDC to evaluate DOJ leadership Development programs. There are several key measures that will be collected by the Components and consolidated by JMD. First, will be the number, breadth, and diversity of those who are provided developmental opportunities. Second will be the effectiveness of the development. Each Component providing leadership development will evaluate the activity based on Kirkpatrick's four level evaluation model². All Components will collect reaction data from those participating in the activity and, where possible, data on what the participant learned. The competency assessments (such as the FCAT-M) will be used to evaluate behavior changes in leaders resulting from the developmental experience and the organizational measures (such as the FHCS) will be used to evaluate whether there have been organizational outcomes that can be correlated to the development activities. The LMS will be very helpful in these data collection processes because it will be easier to determine who participated in what development. Some LMS have features for assisting in the collection of evaluation data and, if this feature is available in the LMS implemented by DOJ, it will be used to collect evaluation data.

The use of the FCAT-M to determine leadership competencies will also provide a mechanism for level two and level three evaluations. Longitudinal analyses of FCAT-M data should show the effects of development activities that are targeted toward readiness gaps.

JMD will conduct evaluations of DOJ-wide programs that it oversees, such as LEAP, SES CDP, Leadership Executive Coaching, and the application of mentoring guidelines. Each of these programs will be evaluated for its effectiveness using the Kirkpatrick evaluation model and the results will be shared with the Components through the HCC, WPC, and LDC.

² The most widely used model for evaluating training was developed by Donald Kirkpatrick. His four levels were 1=reaction, 2=learning, 3=behavior, and 4=results.

Evaluating Organizational Improvement

Harkening back to the Strategic Alignment first discussed in this Plan, the most important criterion for evaluating the accomplishment of the succession management goals is whether the DOJ leadership of the future meets the goals of the Human Capital Strategic Plan and whether the DOJ accomplishes the goals of the Strategic Plan and the DOJ mission.

There are two primary methods that organizational improvement will be measured. The first is the Federal Human Capital Survey. This survey is administered every two years to assess the job satisfaction and organizational climate of Federal organizations. All Federal employees are encouraged to participate in the survey. DOJ and each Component receive detailed feedback on their workforce's perceptions of their leaders and their organization. This represents a high level measure of leadership, communication, and policy.

The second method will be to examine how well the DOJ does on the specific measures it has committed to reporting in its Strategic Plan. The DOJ management team will evaluate the organization's performance and determine whether it has achieved its goals. The results of this evaluation are reported in the SES Accomplishment Report. The HCC will be asked to review this report and to consider the contribution of human capital and succession management issues to the success or failure of the Department to meet its objectives, and to identify specific initiatives that might assist in the future accomplishment of these objectives.

APPENDICES

Appendix A: Glossary of Acronyms

| | |
|--------|--|
| AD | Administratively Determined |
| ATF | Bureau of Alcohol, Tobacco, Firearms, and Explosives |
| BOP | Federal Bureau of Prisons |
| DOJ | U.S. Department of Justice |
| DEA | Drug Enforcement Administration |
| ES | Executive Levels |
| FBI | Federal Bureau of Investigation |
| FHCS | Federal Human Capital Survey |
| FCAT-M | Federal Competency Assessment Tool – Management |
| HCC | Human Capital Council |
| HR | Human Resources |
| IT | Information Technology |
| JMD | Justice Management Division |
| LEAP | Leadership Excellence and Achievement Program |
| LDC | Learning and Development Council |
| OPM | Office of Personnel Management |
| ROI | Return on Investment |
| USMS | United States Marshals Service |
| WPC | Workforce Planning Council |

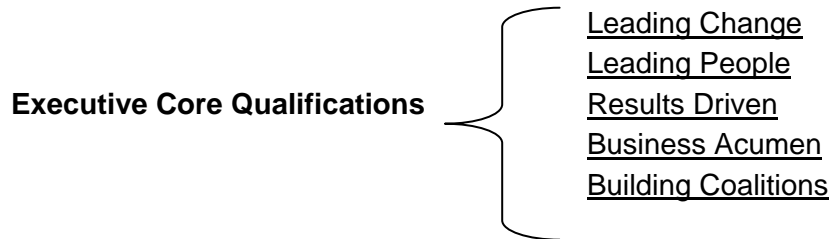
Appendix B: Projected Losses of Potential DOJ Leaders

Future losses were projected by applying historical separation rates and retirement rates to the pool of DOJ potential leaders and their future retirement eligibility. Historical separation rates were calculated from the three years FY2005-FY2007. Separation included all losses except retirement. Historical retirement rates from FY 2005-FY2007 indicated that approximately 22% of the pool of all individuals in grades GS13-ES and AD that are eligible to retire in any year actually retire. When the historical loss rates are compared to the projected future losses the numbers are remarkably similar. The average number of GS-13s lost in each year 2005, 2006, and 2007 was 784 while we are projecting an average loss of 835 for GS-13 over the next six years. Similarly, the average number lost historically for GS-14 was 451 while our projected average is 412. The historical loss for GS-15 was 412 and the projected average loss is 379. The historical average loss for ES was 87 and the projected average loss is 82 per year. Finally, the historical average loss for AD29+ was 268 and the projected average loss is 264.

| Potential Leaders Projected to Leave DOJ by Year and Grade (without replacement) | | | | | | | | | | |
|--|---------------|--------|---------------|--------|---------------|--------|---------------|--------|---------------|--------|
| | Grade | | | | | | | | | |
| | 13 (1.6% Sep) | | 14 (2.1% Sep) | | 15 (4.7% Sep) | | ES (4.7% Sep) | | AD (4.8% Sep) | |
| Year | # Out | Remain | # Out | Remain | # Out | Remain | # Out | Remain | # Out | Remain |
| FY07 | | 19,510 | | 8,091 | | 5,530 | | 967 | | 4,106 |
| FY08 | 827 | 18,683 | 455 | 7,636 | 467 | 5,063 | 109 | 858 | 304 | 3,802 |
| FY09 | 792 | 17,891 | 420 | 7,216 | 427 | 4,636 | 96 | 762 | 290 | 3,512 |
| FY10 | 837 | 17,054 | 422 | 6,794 | 391 | 4,245 | 88 | 674 | 269 | 3,243 |
| FY11 | 836 | 16,218 | 405 | 6,389 | 359 | 3,886 | 77 | 597 | 255 | 2,988 |
| FY12 | 866 | 15,352 | 401 | 5,988 | 328 | 3,558 | 67 | 530 | 241 | 2,747 |
| FY13 | 854 | 14,498 | 370 | 5,618 | 300 | 3,258 | 57 | 473 | 222 | 2,525 |
| Average | 835 | | 412 | | 379 | | 82 | | 264 | |
| Retirement rate: 22% of all eligible retire each year | | | | | | | | | | |

- Note: The numbers in the table above were determined using anticipated retirement eligibility from Figure 1, historical actual retirement rate, and separation rate

The Guide: Leadership Competency Definitions



Leading Change

Continual Learning - Grasps the essence of new information; masters new technical and business knowledge; recognizes own strengths and weaknesses; pursues self-development; seeks feedback from others and opportunities to master new knowledge.

Creativity and Innovation - Develops new insights into situations and applies innovative solutions to make organizational improvements; creates a work environment that encourages creative thinking and innovation; designs and implements new or cutting-edge programs/processes.

External Awareness - Identifies and keeps up to date on key national and international policies and economic, political, and social trends that affect the organization. Understands near-term and long-range plans and determines how best to be positioned to achieve a competitive business advantage in a global economy.

Flexibility - Is open to change and new information; adapts behavior and work methods in response to new information, changing conditions, or unexpected obstacles. Adjusts rapidly to new situations warranting attention and resolution.

Resilience - Deals effectively with pressure; maintains focus and intensity and remains optimistic and persistent, even under adversity. Recovers quickly from setbacks. Effectively balances personal life and work.

Service Motivation - Creates and sustains an organizational culture which encourages others to provide the quality of service essential to high performance. Enables others to acquire the tools and support they need to perform well. Shows a commitment to public service. Influences others toward a spirit of service and meaningful contributions to mission accomplishment.

Strategic Thinking - Formulates effective strategies consistent with the business and competitive strategy of the organization in a global economy. Examines policy issues and

strategic planning with a long-term perspective. Determines objectives and sets priorities; anticipates potential threats or opportunities.

Vision - Takes a long-term view and acts as a catalyst for organizational change; builds a shared vision with others. Influences others to translate vision into action.

Leading People

Conflict Management - Identifies and takes steps to prevent potential situations that could result in unpleasant confrontations. Manages and resolves conflicts and disagreements in a positive and constructive manner to minimize negative impact.

Leveraging Diversity - Recruits, develops, and retains a diverse high quality workforce in an equitable manner. Leads and manages an inclusive workplace that maximizes the talents of each person to achieve sound business results. Respects, understands, values and seeks out individual differences to achieve the vision and mission of the organization. Develops and uses measures and rewards to hold self and others accountable for achieving results that embody the principles of diversity.

Integrity/Honesty - Instills mutual trust and confidence; creates a culture that fosters high standards of ethics; behaves in a fair and ethical manner toward others, and demonstrates a sense of corporate responsibility and commitment to public service.

Team Building - Inspires, motivates, and guides others toward goal accomplishments. Consistently develops and sustains cooperative working relationships. Encourages and facilitates cooperation within the organization and with customer groups; fosters commitment, team spirit, pride, trust. Develops leadership in others through coaching, mentoring, rewarding, and guiding employees.

Results Driven

Accountability - Assures that effective controls are developed and maintained to ensure the integrity of the organization. Holds self and others accountable for rules and responsibilities. Can be relied upon to ensure that projects within areas of specific responsibility are completed in a timely manner and within budget. Monitors and evaluates plans; focuses on results and measuring attainment of outcomes.

Customer Service - Balancing interests of a variety of clients; readily readjusts priorities to respond to pressing and changing client demands. Anticipates and meets the need of clients; achieves quality end-products; is committed to continuous improvement of services.

Decisiveness - Exercises good judgment by making sound and well-informed decisions; perceives the impact and implications of decisions; makes effective and timely decisions, even

when data is limited or solutions produce unpleasant consequences; is proactive and achievement oriented.

Entrepreneurship - Identifies opportunities to develop and market new products and services within or outside of the organization. Is willing to take risks; initiates actions that involve a deliberate risk to achieve a recognized benefit or advantage.

Problem Solving - Identifies and analyzes problems; distinguishes between relevant and irrelevant information to make logical decisions; provides solutions to individual and organizational problems.

Technical Credibility - Understands and appropriately applies procedures, requirements, regulations, and policies related to specialized expertise. Is able to make sound hiring and capital resource decisions and to address training and development needs. Understands linkages between administrative competencies and mission needs.

Business Acumen

Financial Management - Demonstrates broad understanding of principles of financial management and marketing expertise necessary to ensure appropriate funding levels. Prepares, justifies, and/or administers the budget for the program area; uses cost-benefit thinking to set priorities; monitors expenditures in support of programs and policies. Identifies cost-effective approaches. Manages procurement and contracting.

Human Resources Management - Assesses current and future staffing needs based on organizational goals and budget realities. Using merit principles, ensures staff are appropriately selected, developed, utilized, appraised, and rewarded; takes corrective action.

Technology Management - Uses efficient and cost-effective approaches to integrate technology into the workplace and improve program effectiveness. Develops strategies using new technology to enhance decision making. Understands the impact of technological changes on the organization.

Building coalitions

Influencing/Negotiating - Persuades others; builds consensus through give and take; gains cooperation from others to obtain information and accomplish goals; facilitates "win-win" situations.

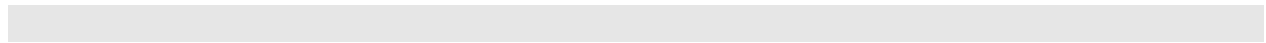
Interpersonal Skills - Considers and responds appropriately to the needs, feelings, and capabilities of different people in different situations; is tactful, compassionate and sensitive, and treats others with respect.

Oral Communication - Makes clear and convincing oral presentations to individuals or groups; listens effectively and clarifies information as needed; facilitates an open exchange of ideas and fosters an atmosphere of open communication.

Partnering - Develops networks and builds alliances, engages in cross-functional activities; collaborates across boundaries, and finds common ground with a widening range of stakeholders. Utilizes contacts to build and strengthen internal support bases.

Political Savvy - Identifies the internal and external politics that impact the work of the organization. Approaches each problem situation with a clear perception of organizational and political reality; recognizes the impact of alternative courses of action.

Written Communication - Expresses facts and ideas in writing in a clear, convincing and organized manner.



Appendix D: DOJ Leadership Development Programs

| DOJ Leadership Development Programs (select) | | | | |
|--|----------|-----------|--|--|
| Program Name | GS Level | # in FY07 | Description | Methods |
| DOJ-Wide Programs | | | | |
| SES CDP | 14/15 | 33 | The 18-month OPM-SES CDP program is designed to train, develop and certify individuals who exhibit outstanding executive potential for SES positions. | <ul style="list-style-type: none"> ➤ Assessments ➤ Coursework ➤ Developmental Assignments, ➤ Mentoring |
| Leadership Excellence & Achievement Program (LEAP) | 13/14/15 | 33 | LEAP is a 12-month Program provides training in the foundations of management and developmental experiences. Its purpose is to prepare high potential employees for higher level management and leadership positions within the DOJ. | <ul style="list-style-type: none"> ➤ Assessments ➤ Coursework ➤ Developmental Assignments, ➤ Mentoring |
| ATF Programs | | | | |
| SES CDP | 15 | 26 | The 18-month OPM-SES CDP program is designed to train, develop and certify individuals who exhibit outstanding executive potential for SES positions. | <ul style="list-style-type: none"> ➤ Assessments ➤ Coursework ➤ Developmental Assignments, ➤ Mentoring |
| Leadership Skills for Managers | 14 | 15 | This one-week course provides training to help new managers transition from first-line supervision to middle-management. | <ul style="list-style-type: none"> ➤ Coursework |
| Leadership Skills for New Supervisors | 14 | 84 | This two-week course is a mandatory course designed for all new supervisors to complete within their first year of supervision. It is a structured course that blends management principles and theory with practical application based on ATF's first-line supervisory leadership competencies. | <ul style="list-style-type: none"> ➤ Coursework, ➤ On-line training, ➤ Assessments |
| Leadership Skills for Experienced Supervisors | 14 | TBD | This one-week course provides additional training for experienced first-line supervisors to keep them current on the latest leadership and management concepts and techniques. | <ul style="list-style-type: none"> ➤ Coursework |
| Leadership Enhancement Program | 13 | 16 | This one-year training is offered to special agents only. It was implemented in an effort to develop a larger cadre of leaders and to identify and train qualified special agents who are interested in developing leadership and supervisory skills. | <ul style="list-style-type: none"> ➤ Developmental Assignments, ➤ Coaching, ➤ Mentoring |

| DOJ Leadership Development Programs (select) | | | | |
|--|----------|-----------|---|--|
| Program Name | GS Level | # in FY07 | Description | Methods |
| DEA Programs | | | | |
| Group Supervisor Institute (GSI) | 14 | 133 | GSI is a mandatory school for all newly-promoted, first-line supervisors. The core curriculum provides the students with 40 hours of specific leadership development training, provided by the University of Virginia, and incorporates leadership training into many of the blocks of instruction. Additional core materials include employee and career development, DEA policies, management, ethics, and DEA strategic planning. The Special Agent's also receive enforcement related training. | ➤ Coursework |
| Supervisor In-Service Program (SIS) | 14 | 49 | The Supervisor In-Service (SIS) Program is a one-week school for first-line supervisors who have completed the GSI at least 24 months prior. The SIS provides 36 hours of instruction, including a block of leadership development. The goal of the in-service program is to provide relevant refresher training to all supervisors every 24 to 36 months. | ➤ Coursework |
| Executive Leadership Institute | 15 | 66 | This one-week program is necessary to provide crucial and up-to-date leadership training for DEA's second-line supervisors. | ➤ Coursework |
| Drug Unit Commanders Academy (DUCA) | 14/15 | 211 | This two-week course establishes and provides crucial leadership training to DEA's state and local counterparts, second-line supervisors to executive level commanders of state, local, and federal drug enforcement units in direct support of DEA's mission. | ➤ Coursework |
| FBI Programs | | | | |
| Executive Development Institute | 14/15 | 150 | The EDI is a two-week course designed to enhance leadership skills of future executives within the FBI. | <ul style="list-style-type: none"> ➤ Residential Coursework ➤ 360° Feedback Assessment ➤ Case Studies |
| Supervisors Development Institute | 11-14 | 300 | One-week course designed to expose new field Supervisory Special Agents and Support Supervisors to a variety of essential leadership theories and practical applications. | <ul style="list-style-type: none"> ➤ Residential Coursework ➤ Self-development Activities |
| National Academy Program | 15/SES | 1200 | A 10-week, residential program that provides training to law enforcement leaders throughout the world. All | ➤ Residential Coursework |

| DOJ Leadership Development Programs (select) | | | | |
|---|---------------|-----------|---|---|
| Program Name | GS Level | # in FY07 | Description | Methods |
| | | | courses, regardless of the topic, are presented in the context of leadership. | |
| Law Enforcement Executive Development Seminar | 15/SES | 145 | Executives are provided instruction in social issues, leadership, and police programs. This program targets the CEOs of agencies with 50 to 499 sworn law enforcement officers. | ➤ Residential Coursework |
| National Executive Institute | SES | 45 | The NEI provides strategic leadership development, current affairs, and liaison at the highest levels of the FBI and the largest U.S. and international law enforcement agencies. | ➤ Residential Coursework |
| Leadership in a Counter Terrorism Environment (LINCT) | 15/SES | TBD | Designed to put strategic level personnel from various agencies together to solve macro issues regarding terrorism. | ➤ Residential Coursework ➤ Team Projects ➤ Developmental Assignments |
| Navigating Strategic Change | 12-14 | 644 | Designed to help FBI leaders implement the dramatic transformation that the Bureau is going through with regard to integrating intelligence | ➤ Residential Coursework ➤ Case Studies |
| Leading Strategic Change | 15/SES | 40 | LSC is a highly customized, five-day executive development program designed for SES level employees, ASACs, and AOs. | ➤ Residential Coursework ➤ Case Studies |
| Leading Analysis of Crime and Terrorism (LeadACT) | 14-15 | 40 | Leadership school comprising leaders from the intelligence community at the middle-manager level. | ➤ Residential Coursework ➤ Case Studies |
| Domestic Security Executive Academy (DSEA) | 15/SES | 45 | A one-week executive school designed to partner and share best practices between the FBI and private industry | ➤ Residential Coursework |
| Emerging Executives | 15 | 50 | Northeastern University and the FBI have partnered to provide a customized Mid-Manager leadership course to prepare future executives in the Bureau | ➤ Residential Coursework ➤ Case Studies |
| Sabbatical Programs | 12-15/SES | 78 | Provides a structured venue for workforce sabbatical training and education that are aligned with the Bureau's primary missions. | ➤ Coursework ➤ Distance Learning |
| Bureau of Prisons Programs | | | | |
| Leadership Enhancement and Development Program (LEAD) | 9-15 SES WS-9 | 199 | This three-year curriculum requires participants to attend Bureau-sponsored and national executive development training programs, as well as to pursue self-directed activities and experiential training at local institutions and offices. The program objective is to provide proactive leadership training to ensure the development and continuity of the Bureau's leadership and supervision but it is also open to members of the Public Health Service at equivalent grade levels. At the beginning of the program, all | ➤ Coaching ➤ Coursework ➤ Self-development Activities ➤ 360° Feedback Assessment |

| DOJ Leadership Development Programs (select) | | | | |
|--|-----------|-----------|--|--|
| Program Name | GS Level | # in FY07 | Description | Methods |
| | | | program participants are required to complete an on-line 360-degree-assessment, which measures leadership skills and traits of managers. | |
| Office of Juvenile Justice and Delinquency Prevention/National Institute of Corrections | | | | |
| OJJDP/NIC Correctional Leadership Development | 12-14 | TBD | <p>In this 70-hour individual, competency-based leadership development training program, participants focus on their current leadership practices as a means to develop and enhance leadership skills needed in juvenile justice. The program, uses an interactive, experiential format, and is designed as an intensive process to enhance participants' ability to manage current and emerging challenges effectively. Participants complete assignments prior to the training program, including working with their agencies' chief executive officers to identify trends and issues that challenge the agencies' leadership.</p> <p>Aside from federal employees, this program is appropriate for juvenile justice professionals with senior-level leadership and management responsibility for a state or local juvenile correctional agency, facility, detention center, community corrections/diversion program, or district or regional office who have been identified as leaders of the future by their home agencies. Deputies of these administrators will be considered if recommended by their chief executive officers. This developmental program format is also available for adult correctional administrators</p> | <ul style="list-style-type: none"> ➤ Residential Coursework ➤ 360° Feedback Assessment |
| National Drug Intelligence Center Programs | | | | |
| Leadership Development Plan | 13-15 SES | 21 | Courses offered range from 3-day to 7-weeks in duration. This plan identifies training that provides for the initial and continual development of employees in executive, managerial and supervisory positions. It addresses the Office of Personnel Management's Competencies for General Schedule 13 through Senior Executive Service (SES) executives, managers or | <ul style="list-style-type: none"> ➤ Coursework ➤ Distance Learning |

| DOJ Leadership Development Programs (select) | | | | |
|--|----------|-----------|---|--|
| Program Name | GS Level | # in FY07 | Description | Methods |
| | | | supervisors. It is suggested that employees attend at least one professional development course annually for the life of their career. | |
| Office of Legal Education Programs | | | | |
| Office of Legal Education Leadership Program | 9-15 | 624 | A number of single residential courses are offered, which are generally three to four days-long. They include the Attorney Supervisors course which provides leadership training for attorney managers; the 360 Leadership course by Warren Blank which provides leadership technique training for all managers. Additional courses teach leadership skills to support staff supervisors. A number of leadership courses will be offered to employees via satellite broadcast, including a quarterly topic from the JTN Executive Leadership Series which features presentations by renowned leadership experts such as Ken Blanchard and Peter Drucker | <ul style="list-style-type: none"> ➤ Coaching, ➤ Coursework ➤ Distance Learning ➤ Residential Coursework ➤ 360° Feedback Assessment |
| US Marshals Service Programs | | | | |
| Introduction to Management and Leadership | 12-13 | 55 | This one-week program offers a blend of training by USMS Division with instruction from management experts contracted to address leadership techniques, management concepts and supervisory responsibility. | ➤ Coursework |
| Managing for Success | 13-14 | 25 | This one-week program focuses on leadership skills, situational leadership and their practical application while avoiding common pitfalls. Additionally, participants are presented case studies involving Internal Affairs Investigations. | ➤ Coursework |
| Leadership Development Program (LDP) | 14-15 | 21 | One-week LDP program designed to increase self awareness and leadership behaviors by learning ones own behavior strengths, areas for development and their impact of leadership behaviors. Understand purposeful leadership behaviors by understanding the change process and coaching. Learn to effectively analyze and synthesize feedback and developmental leadership planning. | <ul style="list-style-type: none"> ➤ Pre-course Surveys ➤ 360 Assessment ➤ Coursework |

