OFFICE OF THE

CHIEF ADMINISTRATIVE OFFICER
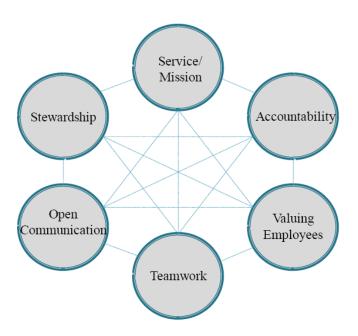

OCAO LEADERSHIP

DEVELOPMENT

FRAMEWORK

JUNE 2009

REV 2

OCAO ORGANIZATIONAL VISION & VALUES

Excellence in Customer Service (SERVICE/MISSION)
- Know your customers and their requirements (and be able to differentiate from "wants"); know how well you are meeting these requirements; use these data (including complaints) to improve processes and policies.
- Recognize when the requirements of a customer are in conflict with the larger NOAA goals, the NOAA goals take precedence.
- Measure success as an organization by how well you serve NOAA and our customer(s).

Excellence in Public Service (STEWARDSHIP)
- Do the job: do the "right" thing, rather than simply doing the thing right
- Demand Excellence and be "Value-Added"
- "Washington Post" Test

Individual Accountability and Responsibility (ACCOUNTABILITY)
- Take personal responsibility for your work; be accountable for the outcomes—both positive and negative.
- Demand excellence and accountability across the organization.
    - Use less-than-optimal results as lessons learned opportunities for improvement;
    - Flag high-risk, high-exposure situations and manage accordingly
- Support individuals as you empower them: coaching, listening, training, and candid feedback on their progress.

Value the Individual (VALUING EMPLOYEES)
- Respect and value each other: the potential, importance, and unique qualities of every person: Value and promote diversity
- Demonstrate and model "respecting" behavior in person-to-person interactions:
    - Actively listen
    - Encourage participation.
    - Encourage excellence

- Use meetings effectively:
    - State the purpose of meetings clearly, and use meetings to make decisions. State purpose ahead of time to permit adequate preparation.
    - Strive for understanding and consensus:
        - The process used to make a decision was explicit, rational, and fair.
        - I was treated well, my inputs were heard.
        - I can live with and support the outcomes leaving the meeting.
    - Understand that as the manager you are ultimately responsible for making the decision.
    - Summarize decisions reached to ensure consistent understanding.
- Encourage innovative ideas/solutions; manage risk effectively—for yourself, for the organization, for the long-term.
- Encourage robust and productive dialogue: elicit and discuss, as well as express, opposing views.

Work in a Cooperative/Collaborative Manner (TEAMWORK)
- Work together as a team (or family), in a spirit of cooperation and mutual support.
- Define goal and objectives clearly and work collaboratively toward their achievement.
- Assume ownership of the team's task: Actively participate with time, ideas, and resources to achieve team goal
- Assume ownership of the team's decision: Support the team's decision in actions and words.

Manage Involvement (OPEN COMMUNICATION)
- Actively model and foster open communication at all levels of the organization.
- Listen: Seek to understand others and to be understood. Challenge ideas, not people.
- Manage involvement of stakeholders and partners: Keep others informed. Promote an honest exchange of information and active participation of all involved parties. Share information willingly; but respect the need for confidentiality when necessary. Communicate decisions and their rationale to all who have a need to know or who are affected by the decision.
- Manage communication channels 360°: up, down, sideways.
- Clarify roles, responsibilities, and timeframes for implementing decisions.

OCAO LEADERSHIP COMPETENCIES

OCAO Leadership competencies are the core knowledge, skills and expertise NOAA's OCAO Leaders must have to meet their mission responsibilities. NOAA's civilian OCAO Leaders (the top one percent of NOAA's civilian employees) are classified as Senior Executive Service (SES). The core qualifications (competencies) for the SES corps throughout the federal government are determined by the Office of Personnel Management (OPM, http://www.opm.gov/ses/).

The OCAO Leadership Competencies are based on OPM's SES core competencies, and are further articulated into individual OCAO Leadership competencies:

ORGANIZATIONAL OCAO LEADERSHIP COMPETENCIES
Results Driven * Customer Service * Decision Making * Collaboration/Partnership * Problem Solving

INDIVIDUAL OCAO LEADERSHIP COMPETENCIES
Written Communication * Oral Communication * Continuous Development * Valuing Employees * Accountability * Stewardship * Open Communication * Service/Mission * Accountability * Teamwork * Integrity * Flexibility * Adaptability * Interpersonal Skills * Technical credibility * Creativity/innovation * Customer Service

OCAO LEADERSHIP COMPETENCIES AT EACH MANAGEMENT LEVEL

TEAM OCAO LEADER – PEOPLE AND RESOURCES – LEADING SELF AND OTHERS
Project management * Resilience * Team work/Team Building * Influencing/Negotiating *

BRANCH CHIEF – EXECUTION – LEADING CHANGE
Creativity/Innovation * Problem Solving * Execution * Decisiveness * Conflict Management *

DIVISION DIRECTOR – VISION AND STRATEGY – LEADING ORGANIZATIONS
Organizational Systems Awareness * Financial Management * Vision * External Awareness * Results Driven * Strategic Thinking * Partnering * Political Savvy * Human Capital Management *

BEING AN OCAO LEADER & MANAGER: "DIRECTION; RESOURCES; EXECUTION"

SET AND EFFECTIVELY COMMUNICATE DIRECTION FOR ORGANIZATION
- Formulate and establish vision that is in concert with Agency's vision
- Set goals and assign priorities to them
- Develop high-level plans and strategies for achieving goals
- Assign tasks and responsibilities to self and staff
- Coordinate activities across organization
- Coordinate organization's activities with those of the larger organization

OBTAIN RESOURCES NEEDED FOR ORGANIZATION'S PROGRAMS
- Determine resource needs
- Obtain resources
- Develop new resources or shuffle priorities to make resources available to match needs
- Align resources to program needs and priorities
- "Get the right people on the bus"

PERFORM
- Begin with the end in mind and always keep the longer-term goal in mind
- Focus on outcomes; not inputs: do the "right" thing, rather than simply doing the thing right
- Produce quality product (that reflects pride on the organization)
- Strive for Excellence: Execute timely and efficiently (evidence sense of urgency for priority tasks)

EPITOMIZE "MODEL" MANAGEMENT (BE A ROLE MODEL)
- Hold yourself, superiors, self, and staff accountable: reward/punish when appropriate to do so; don't shift blame
- Communicate effectively, timely, appropriately, sensitively; be an active listener and frank talker
- Be available for communication
- Evidence behavior that is both moral and ethical
- Hold reasonable expectations: don't expect more from others than what you are willing to give of yourself
- Respect chain of command downward: if you need to go around your subordinates, keep them in the loop
- Respect the chain of command upward: give your boss a chance(s) to address the problem
- Evidence behavior that is consistent: consistency develops trust in expectations; be consistent in word and deed
- Engender a teamwork environment: implies mutual trust
- Serve as an honest broker and fair arbiter
- Evidence loyalty to organization, superiors, and staff
- Inspire and encourage employees to "stretch"
- Maintain a positive, can-do attitude
- Be "passionately driven:" be passionate about your job and the importance of what the organization does; but don't let the passion blind you
- Be prepared to take advantage of opportunities; and create your own
- "Window & Mirror: "Look out the window to apportion credit for success of the organization; look in the mirror to apportion responsibility for poor results
- "Confront the Brutal Facts; Yet Never Lose Faith"

ASCENDING LEVELS OF OCAO LEADERSHIP MATURITY

OCAO Leaders understand the relevance of their Core Values of VALUING EMPLOYEES, TEAMWORK, OPEN COMMUNICATION, STEWARDSHIP, SERVICE/MISSION and ACCOUNTABILITY. They can communicate their meaning; hold peers and subordinates accountable to these organizational merits: and use them to guide performance, conduct and decisions----every day. OCAO Leaders show consistency in their words and actions.

Realizing the OCAO vision & values through effective development of OCAO Leadership competencies include embracing the following ascending levels of OCAO Leadership maturity: Dimensions of OCAO Leadership (GS 07 – 12 equivalent); Successful Supervision (GS 12 -14 equivalent); Mastering Management (GS 14 -14 equivalent) and Executive Education (GS 15 – SES equivalent). (See Figure 1 for a summary of the ascending levels of OCAO Leadership maturity)

DIMENSIONS OF OCAO LEADERSHIP (*GS 07 – 12 EQUIVALENT*)

Oral Communication – OCAO Leaders express facts and ideas succinctly and logically and facilitate an open exchange of ideas. They welcome robust dialogue, field questions, confidently communicate with the media and other external entities, and distinguish between personal communication situations and those as a NOAA representative.

Written Communication – OCAO Leaders write in a clear, concise, organized, and convincing manner for the intended audience. They realize their writing represents themselves and the organization.

Interpersonal Skills – OCAO Leaders treat others with courtesy, sensitivity, and respect. They consider and respond appropriately to the needs and feelings of different people in different situations.

Personal Organization – OCAO Leaders are well organized and prepared for meetings, briefing and work activities. They maintain a personal calendar of work related meetings and commitments (using Oracle Calendar) and effectively coordinate with other key players in carrying out responsibilities. OCAO leader exercise efficient organization and management of their work responsibilities.

Problem Solving – OCAO Leaders identify and analyze problems; use facts, input from others, and sound reasoning to reach conclusions; explore various alternative solutions; distinguish between relevant and irrelevant information; and make recommendations or commit to actions.

Customer Focus – OCAO Leaders know who their customers are, and make every possible effort to find out their customers' needs. OCAO Leaders understand the importance of measuring and monitoring the degree to which their customers' needs are met or exceeded, and continually strive to improve. OCAO Leaders understand the distinction between "customer" and "boss" and act accordingly to balance competing demands.

Ethics/Integrity – OCAO Leaders manage with the highest degree of ethics and integrity in all their dealings. OCAO leaders engage in honest, respectful and professional communications with staff at all levels within and outside the OCAO organization. OCAO leaders embrace the Federal Code of government employee ethics and conduct.

Working in Teams – OCAO Leaders inspire, guide and create an environment that motivates others toward accomplishment of group goals. They recognize and contribute to group processes; encourage and facilitate cooperation, pride, trust, and group identity; and build commitment, team spirit, and strong relationships.

Leading by Example – OCAO Leaders understand and appropriately apply principles, procedures, requirements, regulations and policies related to their expertise. They keep current on technological advances in their professional areas. They lead by positive example in conduct and work ethic.

Science and Public Policy – *OCAO* Leaders recognize the importance and value of NOAA's scientific and research driven mission and actively support and implement agency public policy that embraces and advances NOAA's scientific agenda.

Managing Programs – OCAO Leaders consider the environment in which they and their people work, amending to safety and well-being for purposes of effective program management. They effectively identify and manage stress personally and within their part of the OCAO organization.

SUCCESSFUL SUPERVISION (*GS 12 -14 EQUIVALENT*)

Leveraging Diversity – OCAO Leaders create an environment that supports diverse perspectives, approaches and thinking, fairness, dignity, compassion and creativity. They demonstrate sensitivity to cultural diversity, race, gender, background, experience, and other individual differences in the workplace. OCAO Leaders guide and persuade others to see the value of diversity, building and maintaining a healthy working environment.

Conflict Management – OCAO Leaders encourage creative tension and differences of opinions. They anticipate and take steps to prevent counter-productive confrontations. OCAO Leaders manage and resolve conflicts and disagreements in a constructive manner.

Building Effective Work Teams – *OCAO* Leaders strive to create, foster and maintain effective work teams, recognizing that the "sum of the whole is greater than the individual parts". OCAO leaders seek inclusion and engagement in building effective work teams.

Influencing/Delegating – OCAO Leaders possess the ability to persuade and motivate others to achieve a desired outcome. They persuade by communicating, directing, coaching, and delegating, as the situation requires. Successful OCAO Leaders understand the importance and relevance of professional relationships; develop networks; gain cooperation and commitment from others; build consensus; empower others by sharing power and responsibility; and establish and maintain rapport with key players.

Human Resources Management – OCAO Leaders understand and support the agency's staffing systems, and assess current and future staffing needs based on OCAO goals and budget realities. They ensure employees are appropriately recruited, selected, developed, assigned, evaluated, and rewarded. They take corrective action when needed. OCAO Leaders serve as mentors.

Performance Management – *OCAO* Leaders effectively use NOAA's performance management system to guide, measure and recognize employee work efforts, striving to achieve the highest degree of excellence. OCAO leaders provide thoughtful, thorough and timely performance feedback to staff and seek 360 degree input on their own performance in an effort toward continuous improvement.

Partnership – *OCAO* Leaders establish and maintain provident and productive partnerships within and outside the organization in an effort to optimize positive outcomes for OCAO and NOAA. OCAO leaders appreciate and understand the positive synergy from effective partnership.

Emotional Intelligence at Work – OCAO Leaders understand professional development is a life-long journey and constantly work to improve knowledge, skills and expertise. They seek opportunities for self-learning and development, including asking for candid feedback on their strengths and weaknesses. OCAO Leaders seek out mentors for themselves.

Decision Making – OCAO Leaders make well-informed, effective, and timely decisions, even when data are limited or solutions produce unpleasant consequences. They involve others in decisions that affect them, generate promising solutions, and consistently render judgments with lasting, positive impact.

Delegation/Accountability – OCAO Leaders are accountable to effectively organize and prioritize tasks, and efficiently use resources. They work within the chain of command and comply with established regulations and guidelines.

MASTERING MANAGEMENT (*GS 14 -15 EQUIVALENT*)

Creativity Thinking/Innovation – OCAO Leaders develop new insights into situations and apply innovative solutions to make unit and functional improvements. They question conventional approaches and encourage new ideas.

Financial Management – OCAO Leaders must demonstrate broad understanding of the principles of financial management and marketing expertise necessary to ensure appropriate funding Levels for their areas of responsibility. They prepare, justify, and/or administer the budget for the unit or program; use cost-benefit thinking to set priorities; and monitor expenditures in support of programs and policies. OCAO Leaders seek and identify cost-effective approaches, and manage procurement and contracting appropriately.

Technology Management – OCAO Leaders fully appreciate the impact of technological changes on the organization. They use efficient and cost-effect approaches to integrate technology into the workplace and improve program effectiveness. OCAO Leaders develop strategies using new technology to enhance decision-making.

Entrepreneurship – OCAO Leaders seek and identify opportunities to develop and market new products and services within or outside of NOAA. OCAO Leaders take reasonable risks, and learn from the inevitable mistakes that accompany prudent risk-taking-and they apply this same thinking to those who work for them.

Organization Awareness – *OCAO* Leaders posses an in depth knowledge of the OCAO organization: its structure, leadership, vision and values. Using this in depth knowledge, OCAO leaders seek to improve operational efficiency and effectiveness within OCAO. In depth organization awareness acts to encourage greater innovation and initiative of OCAO leaders.

Resilience – OCAO Leaders are open to change. They adapt their behavior and work methods in response to new information or unexpected obstacles. They remain optimistic and persistent, even under adversity, and recover quickly from setbacks. OCAO leaders are resilient!

Talent Management – OCAO Leaders advise and develop others in the competencies needed to accomplish current and future goals. They provide objective feedback about OCAO Leadership and career development, and help identify professional potential, strengths and areas for improvement. They ensure fair, equitable treatment; project high expectations for subordinates and/or their teams; express confidence in abilities; and recognize efforts.

Coaching & Mentoring – *OCAO* Leaders actively coach and mentor staff, serving as positive role models leading to strong employee morale and staff development. OCAO leaders are active listeners, seeking full information before imparting advice and guidance. OCAO leaders provide positive encouragement and use mistakes by staff as constructive learning opportunities.

Managing Managers – *OCAO* Leaders understand the needs, constraints and expectations of other managers: subordinate, peer and upper managers. OCAO leaders seek to achieve the mutual management objectives at all three levels and constructively address and resolve differences.

Public Administration – OCAO Leaders get things done. They demonstrate the ability to plan, organize and prioritize realistic tasks and responsibilities for themselves and their people. They use goals, milestones, and control mechanisms for projects. OCAO Leaders monitor and evaluate progress and outcomes produced by current processes; ensure continuous improvement through periodic assessment; and are committed to improving products, services, and overall customer satisfaction. In short, they are effective and efficient Public Administrators.

Strategic Thinking – OCAO Leaders must formulate objectives and priorities, and implement plans consistent with the long-term interests of the OCAO. They must consider multiple time horizons and very complex interactions- a systems view of the global environment. They capitalize on opportunities and manage long-term risk to the organization.

Vision – OCAO Leaders see a preferred future for their units and functions, setting this picture in the context of NOAA's overall vision, missions, strategy and driving forces. They establish and communicate OCAO objectives; promote wide ownership; initiate action; and provide structure and systems to achieve long-term goals.

External Awareness – OCAO Leaders identify and keep up to date on key national and international policies and economic, political, and social trends that affect OCAO. Leaders understand near-term and long-range plans and can determine how best to position OCAO for scarce federal resources.

Political Savvy – OCAO Leaders identify the internal and external politics that influence the work of NOAA and the Department of Commerce. OCAO Leaders approach issues with a clear perception of OCAO and political reality, and recognize the impact of alternative courses of action.

Leading Change – OCAO Leaders must develop networks and build alliances, as positive and constructive change agents, engaging in cross-functional activities where it makes sense. OCAO Leaders collaborate across boundaries; find common ground with a widening range of stakeholders at the local and national1evel, and use their contacts to build and strengthen internal bases of support.

Policy Formulation & Implementation – OCAO Leaders exercise initiative and collaboration in formulating and implementing policies which ensure effective and efficient OCAO management and operations.

EXECUTIVE EDUCATION

Strategic Thinking
Vision
External Awareness
Political Savvy
Leading Change
Policy Formulation & Implementation

GS15 – SES Equivalent

MASTERING MANAGEMENT

Creative Thinking/Innovation	Resilience
Financial Management	Talent Management
Technology Management	Coaching & Mentoring
Entrepreneurship	Managing Managers
Organization Awareness	Public Administration

GS14 - 15 Equivalent

SUCCESSFUL SUPERVISION

Leveraging Diversity	Performance Management
Conflict Management	Partnership
Building Effective Work Teams	Decision Making
Influencing/Delegating	Emotional Intelligence at Work
Human Resources Management	Delegation/Accountability

GS12 - 14 Equivalent

DIMENSIONS OF OCAO LEADERSHIP

Oral Communication	Ethics/Integrity
Written Communication	Working in Teams
Interpersonal Skills	Leading by Example
Personal Organization	Science & Public Policy
Problem Solving	Managing Programs
Customer Focus	

GS7- 12 Equivalent

FIGURE 1   ASCENDING LEVELS OF OCAO LEADERSHIP MATURITY

OCAO LEADERSHIP DEVELOPMENT MODEL

The OCAO Leadership Development Model is based on the philosophy that levels of OCAO Leadership maturity will parallel the evolving responsibilities of OCAO Managers. Put another way, OCAO Leaders will have a solid foundation of developing competencies to meet the demands of their assignments as they rise through the organization.

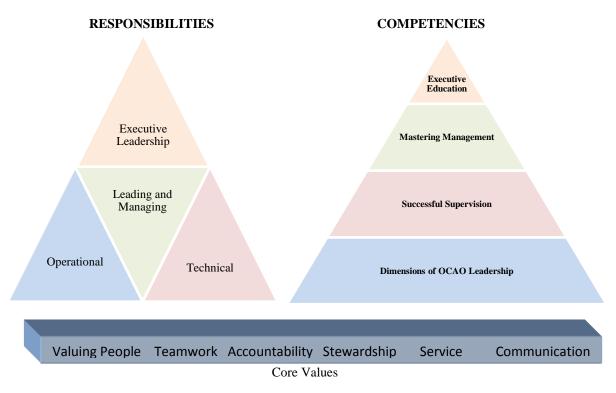### EVOLUTION OF MANAGER RESPONSIBILITIES

As a manager progresses through his/her career, the nature of their responsibilities changes. A new manager's responsibilities are primarily operational and technical. As the manager ascends the organization, operational and technical responsibilities give way to leading and managing. At GS15 (Pay Band V) and above, managers have relinquished many operational and technical responsibilities and focus more on executive OCAO Leadership for the organization. (See Figure 2).

GROWTH/MATURITY MODEL FOR OCAO LEADERSHIP COMPETENCIES

Parallel to the change in the nature of responsibilities, OCAO managers should develop competencies that will better prepare them for future OCAO Leadership responsibilities. A new manager should focus on exercising the competencies of dimensions of leadership, while mid-level managers should have mastered those competencies and work towards successful supervision and mastering management. Senior managers should work to fill any remaining gaps in the lower three levels and strive to attain the competencies for executive education. See Figure 2 for an illustration of how competency development parallels the responsibility increases of managers.

Due to the variations in assignments, training, and experiences over a career, managers will develop competencies at different points in their career. The path for each manager will be his/her own, but the destination is the same – at GS15 (Pay Band V) the manager has the core competencies consistent with the SES.

Figure 2   OCAO Leadership Development Model

OCAO managers are strongly encouraged to create an Individual Development Plan (IDP) as an aid for developing OCAO Leadership competencies.

Organizations such as the **Center for Creative Leadership** have been conducting studies of effective Leaders and how they got that way for over three decades – research that encompasses the public and private sectors, men and women, minorities, and global Leaders. The research indicates the most successful organizations prepare their Leaders with the following activities and corresponding importance: assignments – 42%; interaction with senior Leaders – 22%; self-analysis – 20%; and training – 16%. While each individual learns to lead in different ways, the average proportions for successful organizations were similar. See Figure 3 for this summary of the relative importance of OCAO Leadership developmental activities, a guide for planning your developmental activities.

Figure 3. Relative Importance of Developmental Activities for Successful Leaders

#1	**Assignments** (challenging and competency-based)	42%
#2	**Interaction with Senior Leaders** (staff assignments and shadowing)	22%
#3	**Self-Analysis** (IDP, Officer Evaluation Report, Mentoring, Etc.)	20%
#4	**Training** (formal and informal)	16%

SUMMARY

The OCAO Leadership Development Framework provides a guide for the development of managers. Beginning with a foundation of Core Values, leadership competencies are established and arranged in levels of maturity under this framework. These competencies parallel the increasing responsibilities of managers as they rise within the organization. OCAO managers are strongly encouraged to create an IDP to assist them in pursuing activates aimed at building these competencies. While OCAO managers pursue their own career path and develop competencies at different points in their career, this framework sets forth a common qualification standard at the GS 15 (Pay Band V) level. It establishes a standard by which OCAO Managers can meet the same core qualifications as NOAA's Senior Executive Service (SES). Overall, the OCAO Leadership Development Framework is established to enable manger growth and to best prepare managers to meet future responsibilities.