The 21st Century Federal Manager

A Study of Changing Roles & Competencies

PRELIMINARY RESEARCH FINDINGS

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A Report by a Panel of the

**HUMAN RESOURCES
MANAGEMENT CONSORTIUM**

July 2002

The 21st Century
Federal Manager

*A Study of Changing Roles
and Competencies*

HUMAN RESOURCES MANAGEMENT PANEL

Ralph C. Bledsoe, *Chair*
Carolyn Ban
Cora Prifold Beebe
Bradford Huther
Patricia Ingraham
Harriet Jenkins
Madelyn P. Jennings
Rosslyn S. Kleeman
Thomas S. McFee
James Perry
Gordon Sherman
Curtis Smith
Frank Thompson
William Wilder

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Introduction

> "A slow sort of country!" said the Queen. "Now, here, you see, it takes all the running you can do, to keep in the same place. If you want to get somewhere else, you must run at least twice as fast as that!"
>
> Lewis Carroll
> *Through the Looking-Glass*

At times, federal managers and supervisors may feel as if they were citizens of *Wonderland*. Having spent most of their professional lives in a hierarchical, rules-based (if not rules-bound) structure, they can find the demands of the information age—speed, flexibility, technological literacy, "flattened" organizations and high expectations—challenging if not perplexing. Having to run twice as fast to "get somewhere" can resemble the norm.

This is the first of five reports to be issued on the changing roles and competencies of the federal manager of the 21st Century. It provides preliminary research findings since the study was initiated in September 2001 and includes demographic data and analysis, a review and analysis of government-wide initiatives aimed at managerial improvements, and key points gleaned from discussions with leadership and management experts. The report concludes with an annotated bibliography, providing relevant book, report, and study abstracts.

Several general conclusions about the state of federal management and leadership can be drawn from these preliminary research findings. First,

very high expectations have been set for what managers can and should be doing. The President's Management Agenda, as well as initiatives from the U.S. Office of Management and Budget (OMB), Office of Personnel Management (OPM), and General Accounting Office (GAO), list dozens of actions and activities expected of federal managers many of which are presumably in need of improvement. Second, there exists an enormous amount of information on this topic as indicated by the literature review. Any leader seeking to enhance his or her skills and competencies will find a vast array of advice from which to choose. Third, OPM demographic data show that the federal management cohort is overwhelmingly white, male, and rapidly aging. One illustration is the rise of the modal age of federal managers—44 to 54—from 1991 to 2001. This suggests that a "tsunami" of retirements can be expected from this group during the next decade.

These factors, coupled with such changes as a declining number of management jobs, the lack of hiring and promoting younger managers, and the increasing diversity of the federal workforce, demonstrate that the federal leadership cadre soon will experience unprecedented changes. How elected officials, political and career executives, and managers handle this transition will shape federal workforce performance, and ultimately the quality of services provided to the nation's citizens for many years to come.

Study Overview

Federal agencies and departments touch our lives in countless ways. Their varied missions include protection of the environment, food safety, elderly and disabled assistance, national defense, education of our children, and civil rights enforcement. How well federal agencies perform their missions determines their impact on the American people. As such, the size and scope of the missions may vary greatly, but all agencies share a common feature: Their success depends on individual public servants doing their jobs well. For public servants to do their jobs well, good leadership is essential. This study identifies and compares the leadership skills needed now and in the future. It also assesses how well federal agency leaders are adapting to a rapidly changing world of management and supervision.

Specifically, the study focuses on four areas:

- the changing roles of federal managers in the 21st Century
- the capability of federal managers to achieve their performance objectives and their agencies' strategic objectives, especially with regard to the critical areas of human capital, financial, and information management
- the obstacles to being a more effective manager, such as lack of resources, insufficient support and authority, time constraints, and competency gaps
- strategies and actions needed at various levels to enhance manager effectiveness

This study starts from the notion that traditional hierarchical management structure and supervisory responsibilities are changing. In federal agencies, as in the private sector, three principal factors are driving new perceptions about what managers do, or should do, and how they should be accountable for results. First, the nature of work and the workplace are dramatically changing due to technological advances, the ability to develop and access vast amounts of data, and the need to communicate more rapidly and on more levels than ever before. Second, expectations of the workforce reflect differences in generational attitudes toward work and careers, adding another dimension to the challenge of managing a diverse workforce. Third, the shape of the workforce is changing, emphasizing a more blended workforce of permanent civil servants, temporary and intermittent employees, and contractors using a continuous process of public/private competition.

To understand the complexity of these factors, it is important to consider them in the context of a changing work environment with such universal trends as:

- **Technical Complexity:** Increasing technical complexity in the workplace is driving the need for educated talent, particularly scientific, engineering and information technology (IT) personnel.
- **Information Technology:** Expanding information technology (IT) capabilities are affecting hardware systems, work processes, and the types and numbers of people in the entire workforce.
- **Workforce Flexibility:** IT is providing unprecedented workplace flexibilities such as telecommuting, facilitating a more efficient workforce distribution. People management approaches must accommodate the virtual workforce.
- **Workforce Mobility:** Increased competition and the move toward self-managed retirement funds (particularly with a highly educated workforce) will threaten the financial ties that employees have with their employers. Recruitment strategies must be tuned to the appropriate candidate pools.
- **Globalization:** Business, production, economies, and workforces are becoming more multinational. As a result, managers face increasing demands to compete, retain, and manage talent well.

As these trends demonstrate, managers must respond to rapidly changing circumstances and workload requirements, and invest more time and effort fostering the growth and competencies of their employees.

As part of the preliminary research findings, this report begins with a demographic profile of the federal manager. It also considers such govern-

ment-wide initiatives as OMB's Executive Branch Management Scorecard, OPM's Human Capital Scorecard and GAO's Model of Strategic Human Capital Management. It also summarizes key points raised during group discussions with representatives from professional organizations, federal government executives (current and former), private sector executives, and academics. The report concludes with an annotated bibliography with abstracts of a variety of books and research studies relevant to this project. A final report, scheduled for release in September 2003, will include a final bibliography and abstracts of the most relevant books and research conducted.

Four subsequent reports will provide insights into the types of competencies and job preparation that should be part of supervisory/managerial development efforts. The *First Line Supervisors Report* will be issued in Fall 2002. For the purpose of this report, first-line supervisors are defined as individuals who are responsible for the work of non-supervisory employees. The *Managers and Executives Report* will be issued in early Spring 2003. Managers are defined as those who supervise subordinate supervisors and non-supervisory employees. Executives are defined as those who supervise other managers. The *Management Development Issues Report* will be issued in late Spring 2003. The *Final Report* will be issued in Summer 2003 and will include key findings from research, a final bibliography, conclusions, and recommendations.

These reports will include information from a variety of sources, such as manager focus groups, individual and group interviews, literature reviews, subject-matter expert colloquia, employee and manager surveys conducted by OPM and the Academy, demographic analyses, and reviews of manager development and selection programs.

The Center for Human Resources Management will continue to conduct research through discussions with professional organizations, the private sector, academics, state and local executives, and quasi-governmental agencies.

As the development of effective federal managers is essential to the nation's well being, *The 21st Century Federal Manager: A Study of Changing Roles and Competencies* will strive to provide insights and suggestions to help with this critical task. We thank those individuals and organizations that have supported this project thus far and look forward to their continued support and collaboration.

Demographic Profile of the 21st Century Federal Manager

Who is this federal manager expected to lead employees, develop programs, structure agency services and programs, apply e-government, manage financial resources, and integrate resources and programs? Analyzing comprehensive data from OPM's Central Personnel Data File (CPDF)[1] for "supervisors and managers"[2] and OPM's Fact Book—Fed-

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[1]The Central Personnel Data File status files used cover all Executive Branch agencies except for:

1. White House
2. Office of the Vice President
3. Postal Rate Commission
4. Central Intelligence, Defense Intelligence, and National Security Agencies
5. Board of Governors of the Federal Reserve
6. Tennessee Valley Authority
7. United States Postal Service
8. National Imagery and Mapping Agency

Employees of the District of Columbia Government are not covered. The CPDF covers no Judicial Branch agency and only the following major Legislative Branch agencies:

1. Government Printing Office
2. United States Tax Courts

The CPDF covers some smaller Legislative Branch agencies and commissions which are not listed.

[2]Data on supervisors were extracted from CPDF using the CPDF supervisory status coding. Records are coded based on the nature of managerial, supervisory, or non-supervisory responsibility assigned to an employee's position. These data cover supervisor/managers; supervisor; management officials; leaders; and all other supervisor/manager coded positions.

eral Civilian Workforce Statistics (2001 Edition) reveals that the federal government's leadership cadre has undergone major changes, and that it will continue to change as it confronts new challenges. More detailed information about these changes is provided in various charts and tables in the Appendix.

2001 OPM data indicate that statistically there is a 70 percent chance the manager is in the 50 to 54 year old age group; a 70 percent chance the manager is male; a 70 percent chance the manager is a non-minority; a 23.6 percent chance the manager is a GS-13; a 27.8 percent chance the manager holds at least a bachelor's degree; an 81 percent chance the manager works somewhere other than in the Washington, DC area; a 39 percent chance the manager works for a Department of Defense component; and a 58 percent chance the manager has more than 20 years of service.
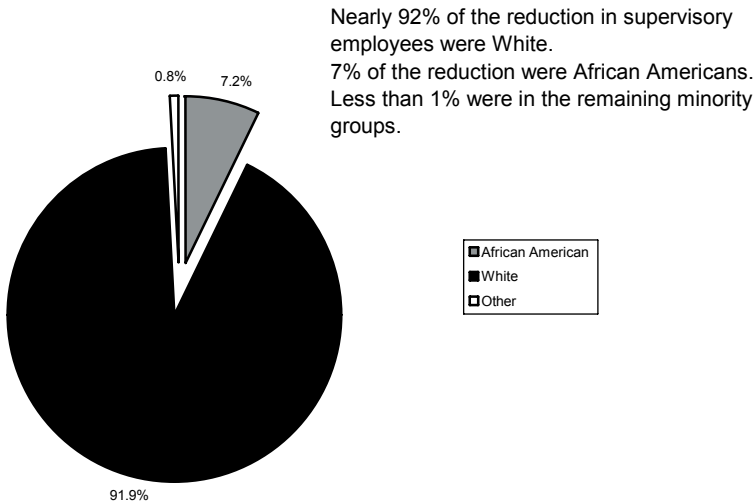
The drive to flatten the bureaucratic hierarchy and reduce supervisory positions has been a recurring theme throughout the federal government for more than a decade. The statistics attest to the results: Federal managers have seen their numbers shrink from 272,689 (12.4 percent of the federal workforce) in 1991 to 195,555 (11 percent of the federal workforce) in 2001. This reduction represents a decline rate of 28 percent, nearly 1.5 times the rate of decline for non-managerial positions. (See Table 1 and Charts 1 and 2).

Table 1
Decline in Number of Managers

	1991	2001	Change	Rate of Reduction
Supervisors	272,689	195,555	77,134	28%
Non-Supervisors	1,926,797	1,576,978	349,819	18%

(Source: CPDF)

As the number of management positions shrank, women and minorities increasingly filled the fewer remaining positions. Data show that all groups (except for white males) have remained underrepresented in the management ranks for the last 10 years, but the ratio is changing. In 1991, women were 43.7 percent of the workforce and 25.2 percent of all supervisors. That is a gap in representation between women in the workforce and women among supervisors of 18.5 percent in 1991. In 2001, women were 45.0 percent of the workforce and 29.9 percent of all supervisors. That is a gap in representation between women in the workforce and women among supervisors of 15.0 percent in 2001. The gap was reduced by 18.8 percent. (See Chart 3).

Nearly 92% of the reduction in supervisory employees were White.
7% of the reduction were African Americans. Less than 1% were in the remaining minority groups.

0.8%   7.2%

91.9%

□ African American
■ White
□ Other

(Source: CPDF)

In 1991, African Americans were 16.78 percent of the workforce and 10.53 percent of all supervisors. That is a gap in representation between African Americans in the workforce and African Americans among supervisors of 6.25 percent in 1991. In 2001, African Americans were 17.05 percent of the workforce and 11.84 percent of all supervisors. That is a gap in representation between African Americans in the workforce and African Americans among supervisors of 5.21 percent in 2001. The gap was reduced by 16.6 percent. (See Charts 4 and 5).

In 1991, Hispanics were 5.44 percent of the workforce and 3.93 percent of all supervisors. That is a gap in representation between Hispanics in the workforce and Hispanics among supervisors of 1.51 percent in 1991. In 2001, Hispanics were 6.70 percent of the workforce and 5.56 percent of all supervisors. That is a gap in representation between Hispanics in the workforce and Hispanics among supervisors of 1.13 percent in 2001. The gap was reduced by 24.7 percent. (See Charts 4 and 5A).

In 1991, Native Americans were 1.85 percent of the workforce and 1.41 percent of all supervisors. That is a gap in representation between Native Americans in the workforce and Native Americans among supervisors of 0.44 percent in 1991. In 2001, Native Americans were 2.18 percent of the workforce and 1.86 percent of all supervisors. That is a gap in representation between Native Americans in the workforce and Native Americans among supervisors of 0.32 percent in 2001. The gap was reduced by 25.5 percent. (See Charts 4 and 5B).

In 1991, Asians and Pacific Islanders were 3.60 percent of the workforce and 2.45 percent of all supervisors. That is a gap in representation between Asians and Pacific Islanders in the workforce and Asians and Pacific Islanders among supervisors of 1.15 percent in 1991. In 2001, Asians and Pacific Islanders were 4.63 percent of the workforce and 3.11 percent of all supervisors. That is a gap in representation between Asians and Pacific Islanders in the workforce and Asians and Pacific Islanders among supervisors of 1.51 percent in 2001. The gap increased by 31.3 percent. (See Charts 4 and 5C).

Perhaps the most striking demographic change has been the rapid aging of federal managers. In 1991, 57.5 percent of all federal managers were age 45 and above as compared to 36.1 percent of the total workforce. By 2001, 72.7 percent of all federal managers were 45 and above, as compared to 50.5 percent of the total workforce. (See Charts 6 and 7).

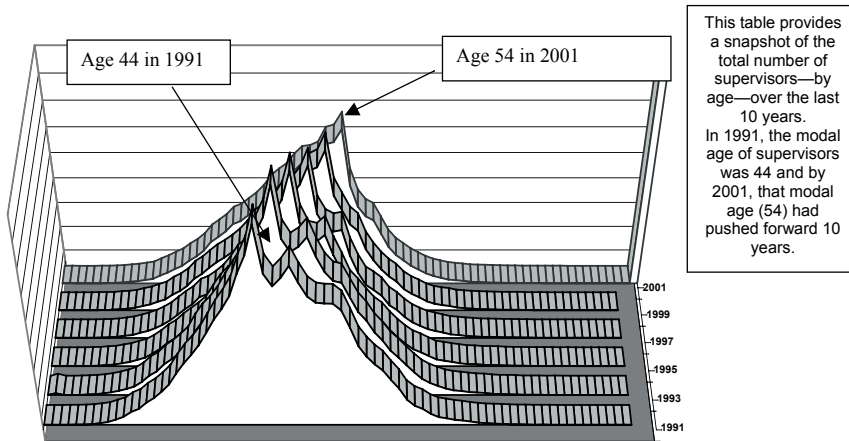### Age Shifts Among Supervisors and Non-Supervisors
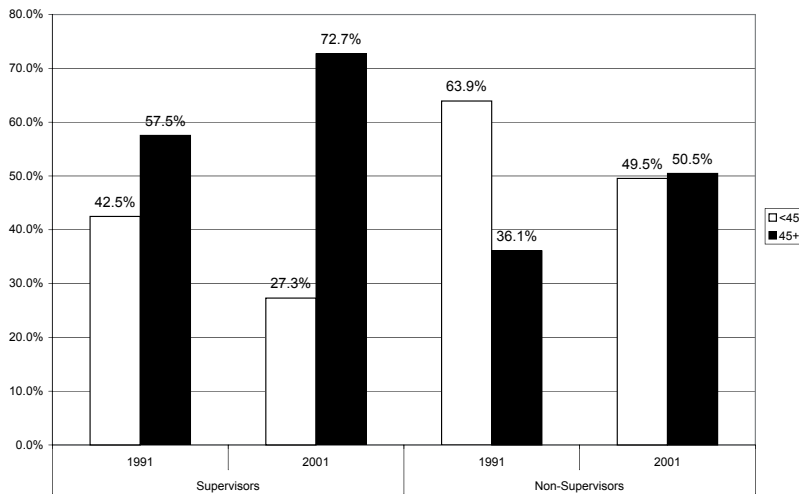
(Source: CPDF)

Since 1991, the modal age of the federal manager increased from 44 to 54, and there has been a dramatic decline in the number of 44 year old and younger managers being developed. If this trend continues, 76 percent of federal managers will be age 55 or older and 27 percent of them 65 or older in 2011 (See Charts 8 and 9).

THE WAVE—The Aging of Federal Supervisors

Age 44 in 1991

Age 54 in 2001

This table provides a snapshot of the total number of supervisors—by age—over the last 10 years.
In 1991, the modal age of supervisors was 44 and by 2001, that modal age (54) had pushed forward 10 years.

2001
1999
1997
1995
1993
1991

(Source: CPDF)

As the age of the federal manager has increased, so has their length of service. In 1991, 27.1 percent of federal managers had more than 25 years of service. In 2001, 38.8 percent of federal managers had more than 25 years of service, an 11.7 percent change (See Charts 10 and 11).

The data also show that federal managers tend to be better educated than the rest of the federal workforce. As of 2001, 77.28% of all supervisors had a bachelor's degree or higher level of education as compared to 64.3% of the non-supervisory workforce (See Charts 12 and 13).

Federal managers represent 11 percent of the federal workforce and 13 percent of total federal employees in the Washington, DC metropolitan area. Department of Defense components employ the greatest number of supervisors. (See Tables 3 and 4 and Chart 14).

Percentage Representation of Supervisors

Supervisors represent 11% of the total Federal Workforce--13% of the total workforce in the Washington, D.C. area and 10.5% of the total workforce in the rest of the United States (ROU).

Supers as % of Total Workforce	Supervisors as % Washington Workforce	Supervisors as % of ROUS Workforce
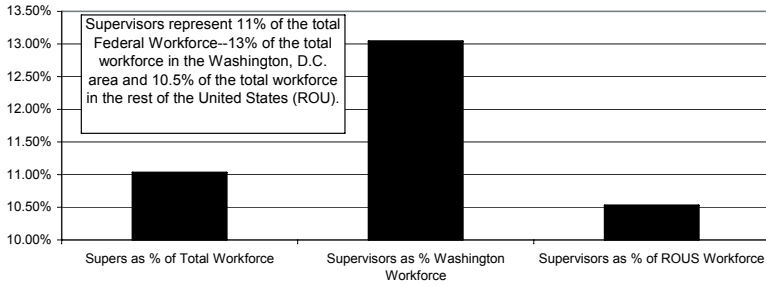
(Source: CPDF)

Federal leadership cadre demographics illustrate a variety of challenges and opportunities. Unprecedented numbers will presumably retire and take institutional knowledge and skills with them, but there also will be an opportunity to develop a more diverse cadre of leaders more attuned to the demands of the Information Age.

Impact of Government-wide Initiatives

"Competitive advantage goes to the organization with effective leaders at all levels. Leaders create change, and they help organizations and people navigate through change to produce results. Spurred by technology, globalization, downsizing, economics and public expectations, this is a time of change that calls for leaders. In any corner of industry or government—identifying, recruiting, developing, and selecting—must be a priority for any serious executive or manager."

National Academy of Public Administration
Managing Succession and Developing Leadership: Growing the Next Generation of Public Service Leaders

INTRODUCTION

The Bush Administration has continued the drive toward improving government performance. The President's Management Agenda reflects a broad-based and substantive four-part initiative to improve agency management, with the OMB scorecard being used to hold agencies accountable for results. OPM and GAO are offering complementary initiatives to focus more energy and resources on strengthening agency management capacity. Furthermore, Congress continues to urge and support imple-

mentation of the Government Performance and Results Act. Individual agencies and associations representing federal executives and managers are seeking ways to meet the performance challenge. Thus, there is an abundance of exhortations and initiatives that both support and challenge the federal manager and agencies' management structures.

This chapter describes how the federal manager is viewed in terms of responsibilities and competencies, through the lenses of government-wide initiatives aimed to improve agency and program management. It features current initiatives and references past ones, including the National Performance Review (NPR) and the Civil Service Reform Act (CSRA). Limited observations also are made regarding the extent to which current management improvement programs and initiatives address the improvement of managers' competencies.

"Performance" describes the predominant focus of management reform for the 20th Century federal service, extending into the Twenty-First. The roots of this emphasis goes back, at least, to post Civil War displeasure with government services, the spoils system, and the Pendleton Act. Throughout the 20th Century, various efforts sought to make the federal bureaucracy more efficient. In 1916, a Bureau of Efficiency was created within the Civil Service Commission. The creation of the Bureau of the Budget in 1923 emphasized the efficient use of personnel and financial resources. Classification reforms in 1949 and performance appraisal measures in 1953 were directed to the more efficient use of federal personnel. The CSRA and NPR continued this focus.[3]

For the most part, management reform efforts have focused on improving the performance of systems and organizations, and paid relatively little attention to managers. For example, NPR did not view the Senior Executive Service (SES) as having a central role in the government reinvention effort. The main NPR report does not reference the SES, while the NPR report on human resources contains only three modest recommendations for SES reform.[4] As for line managers, the NPR agenda included reducing their numbers and increasing the supervisory–employee ratio to an average of 1:15. According to Professors James Thompson and Fred

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[3]"Evolving Dimensions of Performance from CSRA Onward," Patricia W. Ingraham and Donald P. Moynihan, The Future of Merit: Twenty Years after the Civil Service Reform Act, Edited by James P. Pfiffner and Douglas A. Brook, The Johns Hopkins University Press, 2000, p. 103.

[4]"The National Performance Review as Implicit Evaluation of CSRA: Building on or Overturning the Legacy," Carolyn Ban, Ibid, pp. 71–72.

Thompson, "In general, middle management was devalued under NPR. Middle managers were a downsizing target and were initially excluded from participation in the National Partnership Council. There was no systematic effort to upgrade the skills and ability of mid- and lower-level managers and thereby improve the capacity…" for agency performance.[5]

The CSRA, in contrast, included two major reform elements directed toward improving managers: the SES and merit pay for managers and management officials. Merit pay now is gone, and the SES continues to struggle for positive recognition.

The Government Performance and Results Act (GPRA), the third major recent reform effort, clearly focuses on organizational performance but did not emphasize the role of the employee or manager until recently. Now, there is increased recognition of the key role that managers with requisite competencies must play in successful GPRA implementation. Managers should translate goals into results, which requires effective leadership by top executives and incentives that reward manager performance. Thus, there is emphasis on performance agreements that align executive and manager expectations with agency goals, and acknowledgement that line managers need enhanced program evaluation skills.[6]

CURRENT MANAGEMENT IMPROVEMENT INITIATIVES

What do current government-wide management improvement initiatives state, either explicitly or implicitly, about managers' responsibilities and competencies in achieving improved government performance? To some extent, they explicitly point to the roles of executives and managers. Yet the complete "manager messages" may be discerned by translating such impersonal abstractions as "agency," "government," or "system" to terms like "manager," "supervisor," and "executive," or by assuming that a manager is the actor in a passive voice sentence. For example, the President's Management Agenda states, "Agencies will reshape their

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[5]"Federal Management in the Post-Reinvention Era: Lessons from the National Performance Review," James Thompson and Fred Thompson, Memos to the President: Management Advice from the Nation's Top Public Administrators, Edited by Mark A Abramson, The Price WaterhouseCoopers Endowment for the Business of Government, March 2001, p. 45.

[6]Op Cite, "Putting Performance Management to Work in the Federal Government," Donald F. Kettl, p. 71; "Leadership for Successful Performance-Based Management in Government," Dale Jones and Dominic Cloud, p.66; and "Linking Program Evaluation and the Government Performance and Results Act." Kathryn Newcomer, p. 79.

organization to meet a standard of excellence in attaining the outcome important to the nation" (p. 13). It should be understood that executives, managers, and supervisors will accomplish this, certainly in cooperation with employees.

Using this perspective, what do the current management initiatives further say about managers? What are they doing or not doing? What should they be doing? What will be expected of them as the initiatives are implemented? Perhaps most important, what policies and programs does the government have—both individual and central management agencies—to help managers acquire the competencies needed to better fulfill their responsibilities?

The President's Management Agenda

The President's Management Agenda consists of five elements: strategic management of human capital, competitive sourcing, improved financial performance, expanded electronic government, and budget and performance integration. These elements create expectations and require competencies. The agenda's discussion of "strategic management of human capital" presents the fullest picture of the Administration's perspectives of the federal manager.[7]

Strategic Management of Human Capital

- *There are too many managers.* "And even as the workforce shrinks, the number of layers of hierarchy continues to increase, especially near the top. The paradoxical result: a workforce with steadily increasing numbers of supervisors and steadily declining accountability…" (p. 11). Implied here is the view that supervisors are reflecting and exercising less and less accountability. Later, executives and managers are charged to reduce their numbers: "Each agency will identify how it will reduce the number of managers…" (p. 13). (Note: As indicated on p. 10, the number of federal managers has declined from 272,689 in 1991 to 195,555 in 2001, a 28% reduction.)
- *Federal managers are out of touch with and do not apply the tools and ideas of the "managerial revolution."* "The managerial revolution that has transformed the culture of almost every other large institution in American life seems to have bypassed the federal workforce" (p. 11).

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[7]*The President's Management Agenda*, pp. 11–18.

- *Managers do not reward excellence or address poor performance.* "Excellence goes unrewarded; mediocre performance carries few consequences…" (p. 12).
- *Managers generally do not plan for the right number or mix of employees.* "In most agencies, human resources planning is weak."
- *Managers underutilize the resources they have to acquire and develop employees.* "…agencies must make better use of the flexibilities currently in place to acquire and develop talent and leadership" (p. 13).

As a result of the management initiatives, the agenda predicts that managers will be expected and able to:

- link human capital strategies to organizational mission, vision, core values, goals, and objectives (p. 14)
- use strategic workforce planning and flexible tools to recruit, retrain, and reward employees and develop a high performing workforce (p. 14)
- determine their "core competencies" and decide whether to build internal capacity or contract for services in the private sector (p. 14)
- build, sustain, and effectively deploy the skilled, knowledgeable, diverse, and high-performing workforce needed to meet the current and emerging needs of government and its citizens.
- quickly adapt the workforce's size, composition, and competencies to accommodate changes in mission, technology, and labor markets (p. 14)
- take actions to achieve a "high performance" culture that:
  – attracts and retains talented people who will demand and deliver sustained excellence and high levels of performance
  – uses clear and carefully aligned performance incentives for individual employees, for teams, and for its leadership
  – meets and exceeds established productivity and performance goals
  – is accountable for results, with positive rewards for success and real consequences for failure (p. 15)

According to the agenda, federal managers need to and will, as they become fewer, transform themselves from being out-of-date, inflexible, and ineffective to being leaders who effectively exercise the full range of human resources management competencies. The initiatives noted that will contribute to this transformation are: making government "citizen centered;" reshaping government organizations to meet standards of excellence; adopting information technology systems "to capture some of the knowledge and skills of retiring employees;" making better use of the flexibilities currently in place to acquire and develop talent and

leadership; and seeking some targeted civil service reforms (p. 13). These primary initiatives imply that other specific initiatives will provide the means for transforming federal managers.

Competitive Sourcing

There are three primary manager expectations in the agenda's discussion of competitive sourcing:

- develop detailed estimates of the full cost of government performance (p. 17)
- develop specific performance plans to meet administration goals for completing public-private or direct conversion competitions (p. 18)
- conduct competitions in a way that promotes innovation, efficiency, and greater effectiveness (p. 18)

Improved Financial Performance

The agenda's discussion of financial performance highlights two expectations of managers:

- make correct and accurate benefit and assistance payments (p. 19)
- produce accurate and timely information to support operating, budget and policy decisions (p. 20)

Expanded Electronic Government

The agenda's discussion of information technology points to two key expectations of managers:

- plan IT systems using standards relevant to the work the agency should be doing to meet citizens' needs (p. 23)
- create IT systems that break down bureaucratic divisions and simplify business processes, maximize interoperability, and unify information flows (pp. 24–25)

Budget and Performance Integration

The agenda's discussion of budget and performance integrative calls on managers to:

- identify high quality program outcome measures (p. 27)
- provide managers with timely and complete information (p. 28)
- use program measures to monitor program performance, hold managers accountable, and reward staff (p. 27)
- align authority with accountability (p. 28)

- integrate program performance information with associated costs to make program budget decisions (p. 29)

OMB and OPM Scorecards

To focus attention on meeting the President's Management Agenda, OMB and OPM have developed "scorecards" to establish specific standards related to management functions and communicate how well agencies (i.e. managers) are meeting those standards. The basic premise is that agencies and their managers generally are not doing well in meeting human capital and other management responsibilities. In the case of the OMB scorecard, these responsibilities are related to competitive sourcing, financial management, electronic government, and linking performance to budget. OPM's description of its "Human Capital Scorecard" notes that "Review of government wide studies show that most federal agencies are not doing these things [meeting human capital management performance goals] well,"[8] and are failing to meet the standards. The administration's proposed FY2003 budget gave nearly every agency a failing grade in each key management area. OMB Director Mitchell E. Daniels, Jr. said at a budget briefing, "The federal government is not a well managed enterprise."[9]

OPM Scorecard

OPM Director Kay Coles James issued the OPM Human Capital Scorecard on December 7, 2001, with the purpose of helping agencies "achieve 'Green' status on the Executive Scorecard for Human Capital…"[10] The scorecard focuses on five dimensions of human capital: strategic alignment, strategic competencies, leadership, performance culture, and learning. What does the OPM scorecard expect of agencies and their managers?

Strategic Alignment

- explicitly and effectively communicate the link between Human Resources strategies and plans and the agencies' strategic objectives

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[8]"The OPM Human Capital Scorecard," Memorandum for Heads of Executive Departments and Agencies from Kay Cole James, Director, December 7, 2001, p. 1 of attachment "The Human Capital Scorecard.

[9]"Bush Budget Rips Agencies' Management in Key Areas," Daily Briefing," GovExec.com, February 4, 2002.

[10]Memorandum for Heads of Executive Departments and Agencies, "The OPM Human Capital Scorecard," Kay Cole James, Director, December 7, 2001.

- structure the organization and deploy the workforce to support the mission and "get the job done"
- involve employees in the strategic planning and reporting process

Strategic Competencies (Talent)

- recruit, hire, develop, and retain employees with the strategic competencies needed for mission critical occupations

Leadership

- recruit, develop, and retain high performing leaders
- generate high levels of motivation, commitment and focus on results in the workforce
- maintain high standards of honesty and integrity

Performance Culture

- develop, reward, and retain high performers and deal effectively with poor performers
- ensure fairness in the workplace
- foster a climate that values diversity and meet diversity targets

Learning (Knowledge Management)

- develop and implement knowledge management strategies and systems
- invest strategically in training and development for employees[11]

OMB Scorecard

On October 30, 2001, OMB Director Mitchell E. Daniels, Jr., sent to executive department and agency heads the "Executive Branch Management Scorecard" to help them implement the President's Management Agenda. The purpose of the scorecard is "…to show both how well a department or agency is executing the management initiatives, and where it scores at a given point in time against the overall standards for success."[12] It provides "standards for success" in five areas: human capital, expanding e-government, competitive sourcing, financial management, and integrating budget and performance.

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[11]These 12 items are drawn from the "Dimensions of Human Capital" and "Performance Goal" columns in OPM's "The Human Capital Scorecard."

[12]Memorandum for the Heads of Executive Departments and Agencies, "Implementation of the President's Management Agenda and Presentation of the FY2003 Budget Request," Mitchell E. Daniels, Jr., Director, October 30, 2001.

Human Capital

The "core criteria" for this scorecard are consistent with and substantially similar to those in the OPM scorecard, especially with respect to aligning human capital strategy with organizational objectives, sustaining a high performance workforce, and differentiating between high and low performers. Agency (i.e. manager) expectations in the OMB scorecard, but not in OPM's, are:

- creating a "citizen-centered organizational structure that is delayered"
- changing the agency's workforce skill mix and organizational structure so that it reflects "increased emphasis on e-government and competitive sourcing"

Significantly, the OPM scorecard includes leadership as one its five dimensions, with performance goals for recruiting, developing, and retaining high performing leaders who are able to lead the workforce and model high standards of integrity and honesty.

Expanding E-Government

Here, the core criteria explicitly refer to project or system achievements, thereby implying manager expectations that are behavioral. Specifically, the criteria require:

- a business case for all major investments,
- major IT projects operating within 90 percent of cost, schedule and performance targets
- e-government implementation showing department-wide progress or participation in multi-agency initiatives for 3 of 4 specific areas.

To specify the behavioral expectations, these criteria require would appear to distinguish between IT managers on one hand and program managers on the other.

Competitive Sourcing

The core criteria for this initiative are compliance in nature. Specifically, they require:

- completed public-private or direct conversion competition on not less than 50 percent of the full-time equivalent employees listed on the approved FAIR Act inventories
- competitions and direct conversions conducted pursuant to approved competition plans

- commercial reimbursable support service arrangements between agencies being competed with the private sector on a recurring basis

As with e-government, the specific behavior expectations of managers to satisfy these criteria seem to require a distinction among managers responsible for competitive sourcing, program managers affected by competitive sourcing, and program managers not affected.

Financial Management

The core criteria are essentially compliance in nature, as well:

- financial management systems meet federal financial management system requirements
- accurate and timely financial information
- integrated financial and performance management systems supporting day-to-day operations
- unqualified and timely audit opinion on the annual financial statements

These standards appear to primarily apply to financial managers, although integrated financial and performance management systems, imply expectations of program managers.

Integrating Budget and Performance

These core criteria more clearly point to manager expectations and behaviors, both explicitly and implicitly. The five criteria are:

- integrated planning/evaluation and budget staff working with program managers to create an integrated plan/budget and to monitor and evaluate its implementation
- streamlined, clear, integrated agency plan/budget sets forth outcome goals, output targets, and resources requested in context of past results
- budget accounts, staff, and specifically program/activities are aligned to support achieving program targets
- full budgetary cost is charged to mission accounts and activities
- agency is documenting program effectiveness, applying performance to budget, and demonstrating how program results inform budget decisions

These expectations reflect quite clearly financial, evaluation, and program managers collaborating to meet these criteria.

GAO Statements and Reports: Messages for Managers

GAO issues numerous statements and reports describing and evaluating federal management performance on a government-wide and agency specific basis. As with the President's Management Agenda, the subject of GAO's assessments is the agency, either individually or collectively. At the same time, these statements may be interpreted as a commentary on the state of manager responsibilities and competencies.

GAO considers performance to be the fundamental value and goal of management behavior. According to Comptroller General, David M. Walker, "Faced with public demand for more economical, efficient, and effective government, countries around the world are undertaking major reform initiatives to improve government performance and accountability…requiring government organizations to focus more on results and less on process."[13] As a result, the federal government is implementing performance-based management as reflected in such statutes as GPRA, the Chief Financial Officers Act, the Clinger-Cohen Act, and the Paperwork Reduction Act.

GAO sees the federal manager as being responsible for and competent to:

- conduct program planning, such as setting precise and measurable goals and laying out strategies to achieve them.[14] This includes the capacity to produce credible program performance and cost data and to identify performance improvement opportunities[15]
- evaluate programs and activities to ensure they remain relevant, appropriate, and effective[16]
- coordinate crosscutting program efforts by establishing complementary performance goals, mutually reinforcing strategies, and common performance measures[17]
- build effective financial management organizations and systems and routinely produce sound cost and operating performance informa-

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[13]"Managing in the New Millennium: Shaping a More Efficient and Effective Government for the 21st Century," Statement of David M. Walker, Comptroller General of the United States, March 29, 2000, p10.

[14]"Managing in the New Millennium," p. 20.

[15]Ibid, p. 23

[16]Ibid, p. 21

[17]Ibid, p. 22

tion.[18] This includes developing measures of the full costs of producing products or delivering services and integrating both program and financial information.[19]

- improve the use of IT to achieve results, especially through improved management of large-scale IT investments and computer security[20]
- reform human capital management to "fully benefit from the performance-based management and accountability framework that Congress has created"[21]

GAO's Special Emphasis on Human Capital Management (HCM)

In its performance management framework, GAO places special emphasis on human capital management, (HCM). In part because it has been the "missing link" within the framework. More than that, the "people dimension" is the most important of the three enablers needed to make performance management succeed: people, process, and technology.[22] GAO's special concern with human capital management had led it to take several significant actions to focus attention and action on enhancing human capital management and the human management competencies of Federal managers.

- issuing a discussion draft of "Human Capital: A Self-Assessment Checklist for Agency Leaders" (GAO/GGD-99-179),in September 1999 to help agencies gain a clear and fact-based understanding of their human capital situation (Final Report—GAO/OCG-00-14G)
- declaring in January 2001 that human capital management is a government-wide high risk area that demands further attention of leaders at all levels
- publishing an exposure draft "Model of Strategic Human Capital Management" to help federal agency leaders better manage their people (GAO-02-373SP), March 2002

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[18]Ibid, p.25

[19]Ibid, pp. 28–29

[20]Ibid, pp. 30–34

[21]Ibid, p. 35

[22]"Managing Human Capital in the 21st Century," Statement by David W. Walker, Comptroller General of the United States, March 9, 2000.

GAO Model of Strategic Human Capital Management

GAO's Model of Strategic Human Capital Management ("the Model") consists of four high-risk human capital challenges that undermine agency effectiveness and eight critical success factors for managing human capital strategically. "Taken together, the eight critical success factors embody an approach to human capital management that is fact-based, focused on

Figure 1
GAO's Critical Success Factors
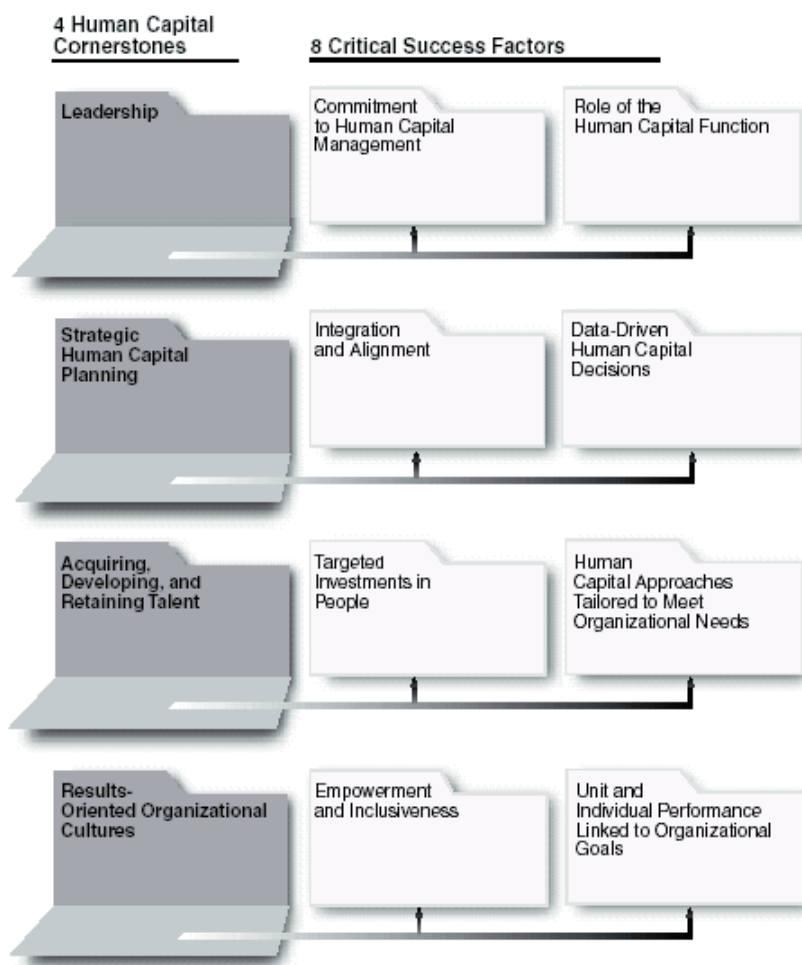
Source: United States General Accounting Office. (2002). A Model of Strategic Human Capital Management. [Online]. Available at http://www.gao.gov. Publication No. GAO-02-373SP. Washington, DC: March 2002.

program results and mission accomplishment, and incorporates merit principles and other national goals."[23]

As with the OMB and OPM scorecards, the GAO model can be interpreted as a statement of managerial responsibilities and competencies related to human capital management. In fact, it personalizes some of the various success factors. For example:

- "Commitment to Human Capital": "Managers at all levels actively support these concepts and are prepared and held accountable for effectively managing people."[24]
- "The Human Capital Function": "Human capital professionals partner with agency leaders and line managers in developing strategic and program plans…. agency leaders and managers consistently recognize the key role of human capital professionals in helping the agency and its people effectively pursue their mission."[25]
- "Fact-based Human Capital Decisions": "Agency leaders use this information to mange risk by spotlighting areas for attention before crises develop and to identify opportunities for improving agency results."[26]
- "Empowerment and Inclusiveness": "…agency leaders seek out the views of employees at all levels and communication flows up and down the organization. Management and employee representatives work collaboratively to achieve organizational outcomes."[27]

As GAO points out, the two scorecards and the model are "conceptually consistent."[28] At the same time, each contains some elements that the others lack. They all tend to talk about "agencies" or "systems" doing things and thus mask the critical point that it requires managers to implement management improvements and achieve a successful scorecard. Fortunately, the OPM scorecard and the GAO model have an explicit recognition of the role of "leadership" in achieving the various manage-

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[23]"Exposure Draft: A Model of Strategic Human Capital Management, GAO-02-373SP, March 2002, p. 7.

[24]Ibid, p. 10

[25]Ibid, p. 10

[26]Ibid, p. 11

[27]Ibid, p. 13

[28]David Walker Cover Letter for the "Exposure Draft—A Model of Strategic Human Capital Management," p. 1.

ment reform goals. OPM Director James clearly made this point to Senior Executives at a training session on the President's Management Agenda.

> The serious attention you and senior executives across government are paying to implementing the President's cutting-edge management agenda is especially important. You are the line managers; the leaders who are responsible for making these initiatives live and breathe. Without you, we will not be able deliver the results the President has promised the American people—the results we need to keep our nation safe and prosperous in the 21st Century.
>
> Kay Cole James
> Director
> U.S. Office of Personnel Management
> *It's Not Easy Being Green*
> President's Management Agenda Training
> for Senior Executives
> March 8, 2002

Strengthening Strategic Management Capacities

The emphasis on strengthening government performance and management generally has been accompanied by focus on several "strategic management capacities" specifically, namely financial management, information management, and acquisition/contract management. OMB and GAO have identified management capacity in these areas as a critical challenge. Congress has passed legislation designed to strengthen government management of these functions with the Chief Financial Officers Act, the Paperwork Reduction Act, and the Clinger-Cohen Act. By law, executive departments and agencies must have the executive level positions of chief financial officer (CFO) and chief information officer (CIO), highlighting the need for managerial leadership.

With respect to information management (IM), several significant developments have taken place related to the responsibilities and competencies of managers. The Clinger-Cohen Act requires senior executive involvement in IM decision-making.[29] Stakeholders also have recognized that

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[29]U.S. General Accounting Office, *Executive Guide: Maximizing the Success of Chief Information Officers,* GAO/AIMD-00-83, March 2000, p. 5.

a human capital crisis exists with IM and IT. OPM and the Federal CIO Council are taking a number of steps to address this issue, including:

- setting higher pay rates for computer related jobs
- establishing a federal IT workforce committee focused on activities to improve the federal government's ability to attract and retain a top-notch IT workforce
- expanding effective IT education and training for the federal work-force. For example, the council is supporting the CIO university, a collaborative effort between the federal government and private in-stitutions to develop IT executives
- reviewing and revising core competencies on a biennial basis
- supporting a National Academy of Public Administration study on how the government can best compete for IT talent

As GAO has concluded, "Agencies must overcome two basic challenges related to IT human capital: a shortage of skilled workers and the need to provide a broad range of related staff training and development."[30] To assist agencies, it has developed an "Executive Guide: Maximizing the Success of Chief Information Officers," based on a set of principles addressing senior executives' responsibility for creating an effective management context for their CIOs, as well as the CIOs' responsibility for building credibility and organizing the IM function to meet business needs.[31]

With the passage of the CFO Act, the financial management community has focused attention on strengthening the capacity of financial managers and program managers. In July 1994, the CFO Council adopted its *Vision, Goals and Strategies for Financial Management in the Federal Government*. The vision statement in this document calls for "…program and financial managers working in partnership…" to achieve full integration of financial, program and oversight information; for financial managers to be leaders and creative in finding solutions to management issues; and for program managers to embrace their responsibility of managing financial resources. In September 1994, it issued *The CFO's Role in Strengthening Financial Management at the Component Organizational Level*, designed to help CFOs understand their roles and make key decisions.[32] The Council also has es-

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[30]U.S. General Accounting Office, *Human Capital: Building the Information Technology Workforce to Achieve Results*, GAO-01-1007T, July 31, 2001, pp. 14–15, 28.

[31]U.S. General Accounting Office, *Executive Guide: Maximizing the Success of Chief Information Officers*, GAO/AIMD-00-83, March 2000, p. 6.

[32]*Guide to the History and Activities of the CFO Council, p. 5l,* www.cfoc.gove (About CFOC, History of the CFOC).

tablished a Human Capital Committee. Its initiatives include developing core competencies for financial managers and program managers, and a CFO Fellows Program to develop a qualified pool from which to meet the future need for financial management leaders.

As for acquisition and contract management, GAO has concluded that the environment has changed with increased use of service contracts, different ways of buying services, and additional procurement flexibility. However, there has not been significant improvement in federal agencies' management of service contracts. "Put simply, the poor management of service contracts undermines the government's ability to obtain good value for the money spent."[33] In another report, GAO concludes that "…a key question we face in the federal government is whether we have today, or will have tomorrow, the ability to acquire and manage the procurement of increasingly sophisticated services the government needs."[34] This conclusion indicates a lack of manager capacity.

Conclusion

Either explicitly or implicitly, OMB, OPM, and GAO have indicated that significant improvement is needed in managers' performance. In addition, it is the Administration's view that there are too many managers, a perspective shared by the previous administration. At the same time, the expectations of managers presented in the various initiatives, scorecards, and models are comprehensive and high.

These expectations, and the competencies associated with them, are not unreasonable vis-à-vis expected federal government performance. Indeed, they are consistent with and fit the framework of the basic competencies and characteristics set for federal managers, the Executive Core Qualifications (ECQ): Leading Change, Leading People, Results Driven, Business Acumen, and Building Coalitions/Communications.[35] Given, the perceived gap between current capabilities and expectations, however, a key question looms large: What is being done to close the gap?

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[33]U.S. General Accounting Office, *Contract Management: Trends and Challenges in Acquiring Services,* GAO-01-753T, May 22, 2001, p. 5.

[34]U.S. General Accounting Office, *Human Capital: Building the Information Technology Workforce to Achieve Results,* GAO-01-1007T, July 31, 2001, p. 24.

[35]Executive Core Qualifications, www.opm.gov/ses/ecq/html

TRANSLATING EXPECTATIONS INTO RESULTS

> The crisis of leadership in our institutions and governments is in many ways the most urgent and dangerous threat facing the world today because it is insufficiently recognized and little understood."[36]
>
> Warren Bennis
> *Managing People is Like Herding Cats*

> Our research yielded many discoveries, but the most powerful was this: Talented employees need great managers. The talented employee may join a company because of its charismatic leaders, its generous benefits, and its world-class training programs, but how long that employee stays and how productive he is while he is there is determined by his relationship with his immediate supervisor."[37]
>
> Marcus Buckingham and Curt Coffman
> *First, Break All the Rules*

If executive, manager, and supervisor performance is not the most important ingredient for achieving high performing organizations, it certainly is one of the most crucial. Authors Kettl, Ingraham, Sanders, and Horner maintain that, "Experience abroad and in the private sector shows that leadership is the most essential ingredient in the high-performing organization."[38] They believe that the senior career leaders in the SES—the line manager ranks by implication—are neither developed nor managed to meet their leadership responsibilities. Further, "there is no government-wide executive development strategy, and few agency-based ones of any substance."[39]

Professors James Thompson and Fred Thompson put it this way: "The key question is not what should be done to make agencies more effective, but whether there exists the capacity to implement needed changes. There

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[36]Warren Bennis, *Managing People is Like Herding Cats* (Provo, Utah: Executive Excellence Publishing Company, 1997), p. 21.

[37]Marcus Buckingham and Curt Coffman, *First, Break All the Rules: What the World's Greatest Managers Do Differently,* Simon and Schuster, New York, NY, 1999, p. 12.

[38]Donald F. Kettl, Patricia W. Ingraham, Ronald P. Sanders, Constance Horner, "Civil Service Reform: Building a Government that Works," Brookings Institution Press, Washington, DC, 1996, p. 81.

[39]Ibid, p. 81.

are two elements of that capacity. One is the capacity at the top of each agency to identify and promote alternative organizational models. The second is the capacity of mid-level managers to follow through with the implementation of those models."[40]

Further, OPM's Human Capital Scorecard includes acquiring, developing, and retaining leadership as one of the five dimensions of human capital management. Similarly, leadership is one of the five parts of GAO's human capital framework described in its Self-Assessment Checklist. In its "High-Risk Series: An Update," GAO lists "leadership continuity and succession planning" as one of "four pervasive human capital challenges now facing the federal government."[41]

What individual agency policies and programs help to ensure that managers have the competencies needed to effectively fulfill their roles and meet their responsibilities as leaders? Further research and reports will assess such policies and programs, their effectiveness, and needed improvements. This report identifies major approaches and some issues that should be explored.

When addressing the human capital needs of managers, it is important to consider the Human Capital Management responsibilities and competencies of managers in the context of the employees being managed. Managers themselves have their own human capital needs for which other managers are responsible. For the most part, these needs are similar to those for all employees, though some specifically relate to managers as a class of employees. These require fellow managers to exercise competencies to meet the responsibility of "managing managers." The major components include:

- defining the kinds of leadership an agency wants in terms of roles, responsibilities, attributes and competencies[42]
- selecting the kinds of managers who will provide the needed kinds of leaders[43]

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[40]Op Cite, "Federal Management in the Post-Reinvention Era: Lessons from the National Performance Review," pp. 44–45.

[41]U.S. General Accounting Office, "High-Risk Series: An Update, GAO-01-263, Washington, D.C: Jan. 2001

[42]David Walker Cover Letter, p. 14.

[43]"Exposure Draft: Strategic Human Capital Management: A Maturity Model for Self-Assessment and Planning, GAO-02-373SP, undated, p. 12.

- managing the performance of managers with expectations, standards, and consequences[44]
- preparing and training managers to carry out their management responsibilities in a context of changing performance objectives and resources[45]
- ensuring the continuity of leadership through succession planning and programs[46]

Specifically focusing on and giving priority to high quality managers is a basic principle in the private sector. Can the same be said for the federal government?

Policies and Programs to Enhance Managerial Effectiveness

"Managing managers" effectively is directly related to agency success in achieving program and management objectives. Four major approaches to ensuring manager effectiveness are:

1. Accountability policies and tools
   - SES core qualifications
   - SES performance evaluation regulations that require a balanced scorecard
   - OMB's executive scorecard
   - OPM's human capital scorecard
   - agency level performance contracts
2. Recruitment, selection and succession programs
   - timely recruitment of outstanding talent at various levels and from diverse sources
   - selection based on rigorous application of the right competencies for the job and current and future challenges
   - succession programs that meet the challenge of developing leaders at all levels of the organization
3. Performance management based on standards for accountability
   - recognition and incentives
   - consequences for performance—outstanding as well as inadequate

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[44]Ibid, p. 12

[45]"Human Capital: A Self Assessment Checklist for Agency Leaders," Discussion Draft, General Accounting Office, September 1999, p. 20.

[46]Ibid, p. 15.

- cultural factors within the organizations, such as communication, feedback, and support of all kinds
- educating, motivating, and supporting managers with respect to fulfilling public policy goals and requirements

4. Management development programs
   - sustained, comprehensive programs to develop managers and leaders at all levels
   - government-wide programs such as the Federal Executive Institute and OPM's Management Development Centers
   - non-government programs such as the Department of Agriculture Graduate School and university based programs throughout the country
   - agency specific programs such as Defense Leadership and Management Program and others.

CHALLENGES OF TRANSLATING EXPECTATIONS INTO RESULTS

Subsequent reports will assess government-wide and agency-specific efforts to provide effective agency specific leadership for the supervisor, manager, and executive ranks. At this point, here is what some stakeholders have said about the challenges in accomplishing this task:

Lack of Succession Planning for Leadership

- "Future leadership is now a high priority in the private sector…. However, only 28 percent of governmental respondents… had, or planned to have, a succession management program. Eleven percent link succession/leader development efforts to the agency's strategic plan, and—in a time of shrinking resources—only 15 percent protect such efforts as a budget priority."[47] **National Academy of Public Administration, 1997.**
- "Because it will entail changes in management systems and organizational cultures that will take years to implement, the transition to modern performance management will require sustained commitment on the part of agency leaders and managers. However, whether at the top leadership levels or among managers, many agencies are

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[47]Op Cite, National Academy of Public Administration, Managing Succession and Developing Leadership: Growing the Next Generation of Public Service Leaders, p. xvi.

plagued by turnover that could hamper these efforts… We noted that successful organizations know the importance of fostering a committed leadership team and providing reasonable continuity through succession planning and executive development… But the succession planning for career executives… looms especially urgent as the current corps of Senior Executive Service (SES) members approaches retirement age… Agencies need to aggressively pursue the comprehensive SES succession planning and executive development actions needed to address this issue.[48] **U.S. General Accounting Office, January 200l.**

- "The problems of succession loom large. Large waves of members of the Senior Executive Service (SES) are expected to retire in the next five years. Brand-new challenges requiring new leadership competencies and greater emphasis on leadership versus management are now being recognized. So far the response across government has not been adequate."[49] **Ray Blunt, December 2001.**

Training and Development Needed for More Effective Leadership

- "Becoming high performance organizations requires a cultural transformation in government agencies. Hierarchical management approaches will need to yield to partnerial approaches. Process-oriented ways of doing business will need to yield to results-oriented ones. Siloed organizations—burdened with overlapping functions, inefficiencies and turf battles—will need to become integrated organizations if they expect of make the most of the knowledge, skills, and abilities of their people."[50] **U.S.General Accounting Office, March 2000.**

- "On the strategic management of human capital, James noted that training tops her list of priorities, as well as the list of priorities of President Bush, the nation's first chief executive with an advanced

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[48]U.S. General Accounting Office, *Strategic Human Capital Management: A Government-wide High-Risk Area,* GAO-01-263, pp. 80–81.

[49]Ray Blunt, *Organizations Growing Leaders: Best Practices and Principles in the Public Service," The PricewaterhouseCoopers Endowment for the Business of Government.* December 2001, p. 6.

[50]U.S. General Accounting Office, *Managing in the New Millennium: Shaping a More Efficient and Effective Government for the 21st Century,* GAO/T-OCG-00-9, March 29, 2000, p. 15.

degree in management… On the issue of opportunities to receive training, James rhetorically asked, "Who doesn't get these offers?" She answered by saying that top managers and employees often get passed-over for academic exercises at OPM's Federal Executive Institute and other venerable venues because agency officials, fearing the impact on workloads, resist losing key people for extended results."[51] **U.S. Office of Personnell Management Director Kay Coles James, April, 2002.**

- "Supervisors believe that leadership development is given a low priority… The study consistently found agencies placing a higher value on technical competence over leadership competencies… Leadership development must also be adequately funded. Ideally, high potential employees should be identified and given the opportunity to build needed skills; selections should consider leadership potential as well as technical competency; development should focus on filling gaps in leadership behaviors; and rewards should go to those who are the most successful leaders. In each of these categories, most agencies are falling short."[52] **U.S. Office of Personnel Management, January 2001.**

- "Forman said federal manager's lack of education on the benefits of technology and knowledge management is a key hurdle to overcome to make government more efficient.[53] **Comments by Mark Forman, associate director for information technology and e-government, U.S. Office of Management and Budget, April, 2000.**

Staffing for Managers and Executives Needs Improvement

- In an April 18, 2002 memo to agency and department heads, OPM Director Kay Cole James wrote that she had received "many complaints that filling SES jobs takes too long and too complicated."[54] **U.S. Office of Personnel Management Director Kay Coles James, April, 2002.**

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[51]OPM News Release, "OPM Director Says Training is 'In,' and Can Lure Talented People into Public Service," April 9, 2002.

[52]U.S. Office of Personnel Management, *Supervisors in the Federal Government: A Wake-Up Call,* January 2001, p. 1 and 21.

[53]GovExec.com, *E-gov chief says managers stand in way of tech advances,* April 23, 2002.

[54]GovExec.Com, *"Federal Personnel Chief Wants Senior Executives Hired Quickly,"* Daily Briefing, April 22, 2002.

- "A key part of [the] workforce is comprised of experienced "mid-career" employees. These are the senior specialists, managers and supervisors who ensure that government accomplishes its critical missions on behalf of the nation…In order to fill the anticipated skills gaps at the mid-to senior levels…the federal government must expand is mid-level hiring practices to include non-federal candidates more frequently."[55] **Partnership for the Public Service, 2002.**

- "Agencies must do a better job of selecting and developing first-level supervisors, which takes time and commitment. Unless this problem is addressed soon, there is potential for a long-term leadership crisis in Government. First-level supervisors are a significant feeder group for higher-level management and executive positions, making this issue even more critical."[56] **U.S. Office of Personnel Management, January 2001.**

This limited sample provides some elaboration to the judgment expressed in the President's Management Agenda that, "The managerial revolution that has transformed the culture of almost every other large institution in American life seems to have bypassed the federal workforce."

What's the Bottom Line?

The bottom line appears to be this: Improved government performance requires improved leadership, which in turn requires improved managers and supervisors who are able to lead employees, develop programs, structure agency services and programs, apply e-government, manage financial resources, and integrate resources and programs.

There are two basic issues for further consideration:

- Do federal management reform initiatives fully recognize the centrality of manager leadership to the performance mandate?
- Are sufficient resources, commitment, and action being applied to the leadership challenge?

Is time fully recognized as a critical resource? Do federal managers have enough time to do all that is expected of them? This question has been raised not only by the increased expectations of managers, but by their

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[55]Partnership for the Public Service, "Mid-Career Hiring in the Federal Government: A Strategy for Change," February 22, 2002, p. 3.

[56]U.S. Office of Personnel Management, Supervisors *in the Federal Government: A Wake-Up Call,* January 2001, p. 21.

decreased numbers. A recent survey by the National Council of Social Security Management Associations indicated that the number of Social Security Agency front line office managers has been cut in half, and that "some managers supervise 20 or more people and do not have the time necessary to oversee employees and provide ongoing training."[57]

One must hope that Michael Kinsley's recent assessment of corporate managers will not apply to federal managers:

"Corporate managers don't get enough respect. Their image in the popular culture is still based on the one from the 1950s: a conformist drone doing life-draining work, the man in the gray flannel suit—even if he's a woman and/or gets to dress down on Friday. The anti-corporate 1960s added an element of evil to the image, without any compensating dash of glamour. Starting in the 1980s, general attitudes about business turned positive. But, poignantly—and except for the absurd cult of the CEO—the spotlight of cultural admiration passed right over the corporate manager to focus on the swashbuckling entrepreneur. Even among conservatives today, the mid-level corporate executive is a figure of no cultural interest or value, except as someone with a job the heroic CEO must eliminate to prove his manhood. This is unjust. Even the most brilliant entrepreneur or camera-friendly CEO needs the odd assistant vice president or two, who probably have skills he or she couldn't duplicate at gunpoint."[58]

> These are not just run-of-the-mill human capital management problems. They, and other issues, are of the highest importance because the "… acquisition, development and retention of critical leadership talent is central to performance…. Leaders are part of an organization's culture, its reward structure, and as such define the clarity of goals and objectives. If leaders abdicate this responsibility, the performance effort is moot."
>
> PricewaterhouseCoopers Endowment for
> the Business of Government
> *Toward a 21st Century Public Service:*
> *Reports for Four Forums, Report from the Wye River Forum*
> June 29–30, 1999, p. 27.

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[57]*Downsizing's Downside: How Cuts Have Taken SSA Managers to Breaking Point*, Tim Kauffman, Federal Times Online, http://federaltimes.com/index.php?S=872937.

[58]Michael Kinsley, *An Ode to Managers,* Washingtonpost.Com, April 18, 2002.

Colloquia

INTRODUCTION

In March, April, and May 2002, the Academy's Center for Human Resources Management (CHRM) convened four colloquia to discuss the Changing Roles and Competencies of the 21st Century Federal Manager. Given increased demands, reduced budgets, changing customer bases, rapid technological advances, and significant changes in the composition of tomorrow's workforce, CHRM convened informal roundtable discussions to assist the study team in gaining a better understanding of why federal managers succeed and fail, what contemporary challenges they face, and how their selection, development, and capabilities can be improved and better utilized.

The first colloquium brought together professional association members and staff, linked to government managers or to improving the way in which the federal government operates. The second, third, and fourth colloquia brought together representatives from the private sector and current and retired senior federal executives—both civilian and military. The fourth colloquia included representatives from universities as well as individuals who manage training organizations in the federal government. During the course of these sessions, study team members identified five major themes as expressed by the experts:

- **People Management Skills:** People management skills were identified as the single most important attribute that future managers must develop. These skills—such as clearly communicating expectations, recognizing and rewarding achievement, and inspiring others—rep-

resent the most important category to effective leadership. Yet they often are the least developed in the federal government's current cadre of agency leaders and managers.

- **Barriers to Success:** Recognizing and paying attention to the barriers facing government managers was identified as an important element in retaining and effectively developing future managers. Recognizing these barriers, implementing necessary reforms, and developing compensating skills are critical to leadership and management mastery.

- **Embracing Change:** Change is constant. To succeed in the future, managers must be agile, flexible, innovative, anticipate change, and respond to new realities. The impact of IT on the work processes, for accomplishing an organization's mission and on the staff responsible for the work, is one example of the tremendous changes that managers face now and in the future.

- **Management Development and Selection:** It is imperative for agency leaders to focus their attention on management development and selection programs that emphasize and measure leadership competencies of candidates for future management positions. The projections of expected retirements from federal government—within the management ranks alone—indicate that action must be taken now to create and implement succession-planning initiatives that identify and prepare high potential employees for future management and leadership roles.

- **Performance Accountability:** Government managers' performance accountability is a much talked about subject. Yet it has not yet been taken seriously, particularly with respect to corrective actions. Although many government-wide initiatives are on the table, they will not succeed unless attention is paid to correcting poor performance and developing the ability of senior managers to take necessary actions.

SUMMARY PROCEEDINGS

Professional Associations

The first colloquium was held on March 19, 2002. It included individuals from professional associations who represent senior executives and managers in the public sector, as well as private sector partners whose mission is to improve the efficiency, productivity, and management of the federal government through cooperative knowledge sharing between both sectors. Participants were asked to represent the views of members of

their organizations and discuss the following questions: How are the roles and functions of managers changing? What changes present the greatest challenge? How successful are today's managers and what accounts for this? What are the most significant obstacles to managerial effectiveness? What competencies do managers need, now and in the future?

Reaching consensus was not required, but the group members agreed that the most significant and challenging role and function changes facing federal managers in the 21st Century involve increased complexity of program missions and external environment; reduced program budgets; advancing technology; reduction of administrative support; increased pace of change and need for speed; the increasing interdependency among federal agencies, private sector, and even global organizations; changes in the workforce—requiring the need to manage knowledge workers, telecommuters, and a blended workforce of federal employees, part-time and intermittent employees, and contractors; new expectations regarding accountability and developing employees; shifting government-wide priorities (e.g. homeland security); increased accountability for human capital issues; and reduction in the numbers of managers and the compression of levels of management.

There was a sense among the participants that managers overall were generally successful at their jobs. Comments on what accounts for their success pointed to their willingness to make personal sacrifices, ranging from working long hours (60–70 hour weeks) to doing extensive traveling (40–50 percent of the time); high level of commitment, passion, and determination, motivation, pride, ingenuity, and willingness to take risks (i.e., avoid bureaucratic systems to get the job done), and dedication to their mission. Today's managers also have more access to technology, which has both helped and hindered their ability to do their work.

Participants' reactions to the most significant obstacles to managerial effectiveness included lack of support; declining agency budgets; non-responsive personnel system; lack of authority to make "people decisions" that matter; insufficient management training; more demanding missions; pay compression; ineffective managerial selection criteria; congressional micromanagement; more demanding customers; lack of preparedness for increased technology; and media focus on failures.

Participants brainstormed on a list of competencies which they feel managers need now and in the future. It included agility; decision-making; succession planning; customer service; budget formulation and execution; change management; complex project management; performance

and poor performance management; innovation; knowledge management; employee motivation skills; strategic management skills; employee selection and interviewing skills; communication skills; communicating the vision; creating and building teams; developing subordinates; coaching; achieving business results; managing diversity; leading change; communicating and networking across agencies and multiple constituencies; developing the business case; linking individual and organizational performance; and having a broad knowledge of financial management, technology, and human resources management issues.

Private Sector Executives

The second colloquium involved private sector executives and took place April 16, 2002. Participants began by describing the current manager's job, and what influences his or her role in its broadest context. There was general agreement that managers can no longer focus on future strategies and depend on subordinate managers and support staff to deal with day-to-day employee issues, as both subordinate managers and support staffs have disappeared. Managers now are more responsible for day-to-day issues involving their staff—they are overwhelmed and often do just what they need to survive. Yet their need to be proficient in and practice change management techniques is stronger than ever. Participants pointed out that IT is one of the biggest drivers for change in the new millennium, as managers must become knowledgeable about how IT impacts their immediate areas of responsibility, as well as the internal and external customers they touch. IT for managers has become a work-design and budget issue, requiring managers to be more process-focused. Managers must be comfortable operating throughout the enterprise. Yet it is difficult to get people to work outside the "stovepipes" in which they have been placed.

Participants stated that people skills continue to be critical to managerial success, mainly because first-line managers are one of the major "keys" to employee retention. Managers must recognize differing group dynamics and use different motivational techniques to lead teams and individual team members. Today, managers manage more people outside their organizations than inside, particularly when contractors and matrixed teams are taken into account.

Participants identified several critical competencies that a manager must possess to be successful, including flexibility, courage, integrity, and ability to listen; leadership, collaboration, influencing, inter-personal, and

communication skills; systems thinking; emotional intelligence; program knowledge; self-confidence; and creativity. They also identified a number of performance success factors, including managers' ability to execute the budget (i.e. staying within budget); workforce and organizational effectiveness; contribution to the knowledge capital of the firm; ability to retain good employees; the quality of recruitment efforts; and ability to promote and ensure employee and customer satisfaction.

In addition, participants identified the biggest competency gaps, which they believe are due to the fact that new managers and supervisors are promoted based on technical capabilities, not on their supervisory abilities and successes. These gaps include discomfort with empowerment, inability to communicate clear goals or engage in systems thinking, limited emotional intelligence, and performance management avoidance. Participants discussed their experiences with leadership and management development programs aimed at addressing these gaps. Based on their feedback, the *360-Degree Feedback* technique appeared to be most common approach for dealing with this issue. Interestingly, participants observed that. more often than not, self-perceptions are significantly different from supervisors' perceptions.

Participants discussed improving the selection process for managers. They agreed that a more rigorous manager selection process would yield more effective managers in the future. Participants stated that the interview process should emphasize managerial capabilities rather than technical proficiency. They recognized that good managers tend to pull good people with them as they move up, just as mediocre managers tend to select mirror images or worse. Although expensive, the assessment center is one selection tool that should be considered. Tailored to each organization, an assessment center puts people through simulations, team problems, and presentations and enables observers to rate and rank them based on performance. Despite the fact that development and administration costs are expensive, assessment centers give current managers the opportunity to be assessors as well as mentors.

Participants stated that holding managers accountable in today's environment was critical. It takes boldness and courage to honestly assess someone's less than outstanding performance. Also, they observed that it is often harder in the public sector to deal with poor performing managers because there are many stakeholders, leaving unclear authority for action. There was consensus that managers need courage to discipline subordinate managers, as well as the power, authority, and support to make decisions and take action.

Participants indicated that managerial understanding and focus on work/life balance are vital to the success of their operations, given that flexibility attracts and retains people. Employees like these flexibilities but managers tend not to because they are more difficult to manage. With flexible arrangements, good performance should be judged by performance outcomes, not the hours employees are visible at work.

Participants observed that managers are concerned with compensation on a comparable basis. They want to see internal equity and a performance/pay nexus. For most, pay is important to their lifestyle, but generally is not motivating.

Participants concluded by highlighting the importance for organizations to create a culture that fosters greater risk-taking for greater rewards. They felt that managers should be fully empowered to do their job and be provided with the training tools and resources needed to be an effective manager. Managers must have knowledge of their field and industry, and have flexibility, agility, and strong people skills in this increasingly complex world. Most importantly, they need the fire in their belly and the desire to succeed, despite the obstacles.

Federal Government Executives

The public sector colloquium was held on April 18, 2002 and included high ranking and well experienced federal executives. The participants discussed numerous issues related to the changing role of federal executives, including the current environment for managers and leaders; the anticipated skill and competency needs of future leaders; inhibitors to good management; the terms for describing the condition of getting work done through others in the federal government; future demands for new managers and leaders; selecting and developing future leaders; dealing with problem performers; and predictions about future workforce characteristics.

Participants felt that today's federal managers are frustrated and need help. They stated that while managers' numbers have been cut, their missions have grown or evolved. Managers can be both worker and supervisor/manager. They often find it impossible to manage effectively with statutory and regulatory constraints and the lack of authority and autonomy. Managers are beleaguered given system constraints that often prohibit good management practices. They have not been adequately prepared to manage, developed skills to deal with people, or learned lessons for how to get work done through others. Most come from narrow

technical stovepipes and are inadequately prepared for the challenges of supervision. Their creativity is stifled and most important decisions are made by constituencies and at levels above them. In addition, changes in administration bring a constant shift in the power base with no consistent management philosophy or agenda that managers can pursue for organizational success.

Participants believed that the leaders of tomorrow will utilize a combination of technical know how, skills developed on the job, and personal strengths and attributes to get the job done. They will need flexibility; ability; mobility; and preparedness to deal with uncertainty and ambiguity. They must have a global view and operate nationally, internationally, and globally. They must have integrity, courage, empathy, and humility and be capable of intense focus and balancing conflicting objectives. The best leaders will bring passion, drive and idealism to the leadership of the federal government, managing and leading in multiple dimensions: social realities, technical requirements, and political aspects. Those abilities will be more or less important as they move up in the federal hierarchy with the need for political astuteness most urgently required in the very senior positions.

There was consensus about the similarities and differences in managing and leading others. Most felt that the two are not interchangeable, although aspects of each can be present in either role, with the leader skill requirement becoming predominant at the higher levels. Historically, the federal government has developed good managers, not good leaders, participants observed. The military is in the business of creating leaders and provides a good model. Although life and death situations are its primary mission area, the military trains its soldier leaders in ways that the federal service might well emulate. In the military, there are tough sanctions for failures in leadership. In the civil service system, however, there is tolerance for poor performance. Working toward becoming a manager or leader comes from individual drive, not institutional selection. The onus is on the individual for selection and promotion.

Discussion continued on aspects of leading and managing. All agreed that leaders create success, while managers maintain the status quo. Leaders create atmospheres and conditions that allow workforce success, while managers implement strategic plans. Leaders build and inculcate the vision in the workforce, while managers take care of where you are. Leaders motivate people to "move," while managers take care of what is (yesterday and today focus). Leaders deal with ambiguity, while managers deal with complexity. Leaders see when there is no light, hear when there is no

sound, create the values of the institution, and shape the organizational culture.

Participants identified future management system requirements, which include environments that teach and enable the handling of complexity and uncertainty (the military focuses on this more than the civilian side); the need to handle data availability and frequent technology shifts; deployment of enablers that support nimble, responsive, continuously learning organizations and systems that reward risk taking; new and reformed personnel and business systems that support, rather than confound and penalize, leaders and managers; a supportive culture and environment that promote the attractiveness of federal employment; and an empowered Executive Branch that can delegate real authority to its leaders.

Participants stated that the "cost" of keeping good managers is progressively increasing. Thus, consideration should be given to recruiting managers from outside, including early retirees and mid-career professionals willing to make career changes. Although some individuals may still be attracted by the stability that the federal government has traditionally provided, this may not be an incentive for either Generation X or Y applicants. Furthermore, those in search of and motivated by security and stability may not be the type of innovative and flexible worker the federal government wants. Participants thought that good leadership could attract and retain a quality workforce for reasons of idealism and shared vision, rather than pay alone. They thought that seeing the federal workforce as competent, applicants would take jobs where they see the opportunity and ability to solve national problems that citizens cannot solve for themselves.

Participants felt there was a dearth of formal quality programs that could help grow the skills and competencies of future leaders. The federal government must take a role in raising leaders, not just supporting individual inclination. They suggested mandatory mid-career moves, setting performance-based goals, and creating a truly professional federal civil service. They thought that SES mobility was important to the health of federal executive leadership. In light of the demographic inclinations of Generation X/Y workers, now may be the right time for mandatory SES mobility. This mobility could include moves into and out of the private sector. They also stated that there is the need for clear and known ways to get ahead in the government and systems to enable that progress. Today, there is a morass of multiple, convoluted, and not well understood path and strategies. Those formal programs need to have future competencies

include fostering a culture that not only permits, but also encourages, risk taking and innovation.

They believed that political appointees should come to the job with expert qualifications, not just party alliance. As one executive noted, "The federal service is like the Pony Express except when the Pony Express came to the post they changed horses. The federal service changes riders!" This constant shifting of leaders and political agendas compounds the difficulties that career executives face in achieving agency goals.

Participants predicted that the future federal workforce would be a blend of permanent, temporary, term, and contractor employees. Contracting out needs to be done correctly and decisions should not be only about the lowest bid. The federal government should not contract out work that cannot be measured nor should leadership positions as responsibility cannot be contracted out. Many of today's frustrations come from privatization that does not work and contracted products and services that do not perform. As the retiree bulge looms, the federal government needs to be smart and creative about how it manages the retirement process. Also, it should look at system changes that allows agencies to retain, on a part-time basis, necessary skills of retirement-inclined workers, making it easier to help those who have not made the decision to retire, but need to do so, retire with dignity without forcing management to take performance based actions. Participants also felt that telecommuting is oversold as an employee benefit rather than a management tool. It was the consensus of these senior executives that reform is paramount if the federal government is to create the conditions for managers and leaders to succeed in the 21st Century.

Academicians

The Academic Colloquium was held on May 20, 2002. Representatives from universities as well as individuals who manage training organizations in the federal government participated. The members were asked to discuss current work being done by their institutions as well as their global assessment regarding leadership issues in the 21st Century. The discussion was wide-ranging and mentioned efforts such as:

- Fostering leadership development and teamwork training in organizations that traditionally focus on individual performance
- Training individuals to deal not just with contemporary leadership challenges, but also looking at what leadership skills and competencies will be needed in 10–15 years

- Looking back at the reinventing government efforts of the 1990's, particularly in regards to performance measurements and management
- Teaching how to manage across governmental boundaries, e.g., federal, state, local
- Reviewing the work of the original Volcker Commission as well as the effects of the Civil Service Reform Act
- Training and evaluating performance at the local government level and studying the impacts of performance-based management
- Developing strong public sector ethics and understanding of the principles of public service in a democracy
- Considering the impact of the devolution of some traditional federal roles to states, localities and the private sector
- Studying the affects of the National Partnership for Reinventing Government's Reinvention Labs, particularly as it impacts middle managers
- Teaching leadership, management and decision making to middle managers

The next discussion focused on the question: *"Are the traditional definitions of supervisor, manager and leader still applicable?"* The first response was in the affirmative with a general agreement from the other participants. This was followed by a discussion that emphasized that while the definitions may largely apply, there was considerable overlap between them and that a number of factors were continuing to blur the lines even further. Several participants noted that everyone responsible for overseeing the work of others needs to have leadership skills and this need tends to rise with the position held in the hierarchy. It was also stated that the work environment today is considerably more complex with organizations tending to be less hierarchical and utilizing more non-traditional employment arrangements (contractors, telecommuters, etc.). Generational differences (Baby-boomers vs. Gen-X) in attitudes about work and careers were also cited as having a significant impact on how organizations accomplish their missions.

The participants were then asked to discuss the roles of team leaders and project managers. The first comment offered was that much of the emphasis over the last decade on reducing the number of middle managers simply resulted in a number of supervisors being re-named team leaders although their roles (and their organizations) really have not changed. Participants also noted that although traditional notions of hierarchy have changed, hierarchies are still needed even in a team-based environment. A discussion on the difficulty of getting younger employees to work in

teams also focused on the situational aspects of team building with examples ranging from Army basic training to Microsoft development teams. It was generally agreed that the dynamics of modern organizations require more subtle skills on the part of leaders. Collaboration, partnering, negotiation, bargaining, persuasion and building networks were cited as the skills modern leaders will need to master to be successful.

The question was then asked as to the roles managers are likely to play in the future. The first example given concerned performance-based monitoring of contracts and contractors and the increasing emphasis on privatizing many government functions. The monitoring aspect was mentioned as an area in need of much improvement. Also discussed was how defining work based on competencies will require different perspectives on both jobs and organizations since competencies tend to be harder to define, evaluate and reward and are more situation-dependent. The impact of the IT revolution on organizational culture was mentioned as a concern, particularly in terms of depersonalizing communications. Performance measurement was cited as an example of something that looks good in the abstract but which can adversely impact culture and environment by inappropriately constraining the autonomy of lower level managers. The importance of diversity, not simply inside the federal government, but working across international borders was also mentioned as a critical need. The need to be able to deal with complexity was also mentioned as an essential skill since the trend toward increasingly complex systems is going to continue, driven by globalization, technology and boundary-blurred organizations. Another major challenge for managers in the future will be to manage the mandates, which derive from performance management systems, congressional oversight and Inspector General reviews, without losing flexibility and control of their operations.

The next discussion focused on the process used to select managers, the competencies required for selection, and the processes used to develop, reward and hold managers accountable. Creativity, collaboration, negotiating skills and a broad perspective were mentioned as important. The military model of leadership development was cited as being particularly effective. An emphasis on blending "horizontal" (management) with "vertical" responsibilities (leadership) was cited as essential. Innate qualities—honesty, integrity, ethics, and personal accountability—as well as interpersonal skills, were also cited as indispensable. Coaching, mentoring and inspiring others were named as important skills as was the ability to deal with complexity, ambiguity and change. The need for individuals with a broad-based set of skills who can take a more general-

ist approach to leadership and who have the ability to blend together the talents of the individuals in an organization into a cohesive team (e.g., an orchestra) also was emphasized. The importance of trust in an organization and how to build it, especially across cultural or political boundaries generated a lot of discussion. The factors mentioned which can impact the establishment of trusting working relationships included: the mobility of the modern workforce and its effects on building long-term relationships; the oftentimes impersonal nature of contemporary work arrangements and communications, particularly e-mail, (which was said to have both a positive and negative effect); and, cultural, language or geographic (urban vs. suburban or rural) differences.

The next question asked of the participant's concerned critical success factors. Trust, organizational loyalty, performance contracting, standards and feedback were one response. Do a better job teaching managers how to deal with issues of diversity and don't over focus on what current leaders think, focus on future needs, was another. Other comments mentioned the need to do a better job of screening managerial candidates, emphasizing accountability and having people hold themselves to a higher vision. There was some disagreement concerning the value of performance contracts, particularly the difficulty of coming up with good measures of performance and whether contracts sometimes forced managers to do the "measured thing" versus the right thing. It was also suggested that a better characterization of the proper relationship between a manager and his or her responsibilities is not "contract" but "covenant." There was broad agreement on the idea that leaders need to hold themselves personally accountable and have a strong sense of stewardship toward their organizations.

Accountability was the focus of the next discussion. There was agreement on the concept that public managers should be held accountable both for the resources under their control and the outcomes of their organizations, however, there was no clear agreement as to how this would best be accomplished. The concern that the move to improve accountability could evolve into simply an exercise for assigning blame was mentioned a potentially negative outcome. The contradictory pressures put on the Internal Revenue Service on the conduct of tax audits was given as an example. There seemed to be agreement that the most positive and effective forms of accountability were created by the internal values held by managers: strong ethics, a sense of stewardship, personal sacrifice, professionalism, adhering to professional norms and a concern for the public good. The importance of a manager's personal values, which was mentioned in most

of the colloquium's discussions, seemed to resonate most strongly with the participants.

The final question asked of the participants was what they thought were the most important issues regarding federal leadership in the 21st Century:

- Professionalism in its broadest sense, including personal accountability
- Self-awareness and professionalism, including organizational expectations and public service obligations
- Integrity and authenticity and the need to be open and trusting and serve in the name of democracy
- Dealing with change and diversity
- Having a breadth of perspective, a vision of global and historical dimensions and cultural differences
- Accountability, being results-oriented and understanding the legal framework and constitutional basis of society
- Systematically and strategically investing in leadership, using the private sector and the military as benchmarks

EXPERTS

Professional Associations

Ramsey Alexander, Blacks in Government, Region IX
Joe Galbraith, AVUE Technologies Corporation
Alfredia Jones, Blacks in Government, Region IX and IRS
Marcia Marsh, Partnership for the Public Service
John Palguta, Partnership for the Public Service
John Priolo, Federal Managers Association
Kristen Royster, Federal Managers Association
Didier Trinh, Federal Managers Association
Patricia Wolfe, Federally Employed Women and Treasury
Raymond Woolner, Professional Managers Association
Andy Uscher, Senior Executive Association

Private Sector Executives

Howard P. Ady, III, KPMG Consulting, Inc.
Norm Betaque, Logistics Management Institute
Roger Dimsdale, Paralyzed Veterans of America
Debbie Elk, DynCorp

Marty Faga, MITRE Inc.
Roseann Ryba, Dove Consulting
Pat Sherod, NorthrupGrumman/PRC
Maureen Van Vliet, DynCorp
Robert Whiting, AVUE Technologies Corporation

Federal Government Executives

Ken Apfel, University of Texas
Randy Berquist, U.S. Department of Transportation
Ray Blunt, U.S. Department of Veterans Affairs
Jim Colvard, U.S. Office of Personnel Management
Dave Garrison, National Academy of Public Administration
Kristine Marcy, The AIH Group
Terry Newell, Federal Executive Institute
Curtis Smith, Wilson Center for Leadership Hampden-Sydney
Fred Vollrath, Computer Sciences Corporation

Academicians

Louis Gawthrop, University of Baltimore
Donald Klingner, University of Colorado
Kathryn Newcomer, George Washington University
James Pfiffner, George Mason University
Frank Thompson, SUNY, Albany
James Thompson, University of Illinois—Chicago
Barry Wells, Foreign Affairs Training Center, U.S. Department of State
Colonel Philip Wilkerson, Army Management Staff College
Pete Zimmerman, Harvard University

Literature Review and Annotated Bibliography

LITERATURE REVIEW

Purpose and Scope

As previously stated, there is a tremendous amount of information and a wide selection of books, reports, and research studies addressing the issue of leading and managing in general. Given the amount of information available, this section only includes those sources that best address the issue of leading and managing in a changing world.

Most, if not all, of the material included in this section was obtained electronically via the Internet. The principal data source was www.Amazon.com from which the reference information and most of the abstracts were directly excerpted. The reference material was divided in six main categories—diversity in the workplace, human capital management, leadership, management, organizational change, and women and leadership. Each main category was further divided in sub-categories depending on the primary focus of the information provided or theme (i.e., best practices, successful leaders, leadership development, etc.).

The literature review provides those seeking to hone their leadership and management skills with a non-exhaustive view of the information available on this topic. Most importantly, a glance at the reference material included here validates the premise of the study, which states that the world of the manager, including the federal manager, is changing.

Subject Areas (In Alphabetical Order)

1. **Diversity in the Workplace**
   A. Beyond Race and Gender
   B. Diversity and Affirmative Action
   C. Global Diversity
   D. Managing Diversity in the 21st Century
   E. Minority Executives
   F. Transforming the Workplace
2. **Human Capital Management**
   A. Knowledge Management
   B. Learning Organizations
   C. Managing Human Capital
   D. Evolving Practices
3. **Leadership**
   A. Accountability
   B. Best Practices
   C. Coaching
   D. Contemporary Issues
   E. Decision-Making
   F. Emotional Intelligence
   G. Effective Executive
   H. Leading Change
   I. Leadership Development
   J. Leading in the 21st Century
   K. Participative Leadership
   L. Power and Influence
   M. Principle-Centered Leadership
   N. Psychology of Leadership
   O. Relational Leadership
   P. Results-Based Leadership
   Q. Successful Leaders
   R. Succession Planning
   S. The New Science
   T. Transformational Leadership
   U. Values-Based Leadership
   V. Visionary Leadership
4. **Management**
   A. Best Practices
   B. Leadership vs. Management
   C. Management Development
   D. Managing Change

E. Managing for Results
F. Managing in the 21st Century
G. Managing Power
H. Organizational Culture
I. Public Management
J. Trust-Performance, and Commitment

5. Organizational Change

A. Changing Workplace
B. E-Business Leadership
C. Culture Change
D. Matrix Organization/Management
E. Networking

6. Women and Leadership

A. Influence and Power
B. Leadership
C. Leadership in the 21st Century
D. Management
E. Successful Leaders

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ANNOTATED BIBLIOGRAPHY BY SUBJECT

Diversity in the Workplace

1A   *Beyond Race and Gender*

Shafritz, J. (ed.). 5th ed. 2001. *Personnel Management in Government: Politics and Process* (Public Administration and Public Policy. (Vol. 92). Marcel Dekker.

This book contains up-to-date material on affirmative action and equal opportunity case law. Also, it addresses work and family issues. It provides analysis of federal pay reform and innovative classification and compensation systems currently implemented by Federal agencies. In ad-

dition, it discusses constitutional and legal issues facing public personnel administration in areas such as AIDS and drug testing.

1A   *Beyond Race and Gender*

Thomas, Jr., R. R. 1999. *Building a House for Diversity: How a Fable About a Giraffe and an Elephant Offers New Strategies for Today's Workforce.* New York: AMACOM.

The author uses a fable about a giraffe who wants to employ an elephant to do some work on a shop the giraffe owns. The house is designed for a giraffe and cannot accommodate the elephant's size. The giraffe decides to make changes to accommodate the elephant because the elephant can provide the giraffe with some needed services. This fable as well as the case studies included in the book illustrate successful ways to assimilate diverse people into the workforce.

1A   *Beyond Race and Gender*

Thomas, Jr., R. R. 1996. *Redefining Diversity.* New York: AMACOM.

This book focuses on several case studies involving corporations that have been successful in developing diversity programs. These case studies illustrate how diversity has helped to foster a better work environment and enabled these companies to better address marketplace issues. The author strongly endorses a total lifestyle shift to help deal with the changing workplace.

1A   *Beyond Race and Gender*

Thomas, Jr., R. R. 1992. *Beyond Race and Gender: Unleashing the Power of Your Total Work Force by Managing Diversity.* New York: AMACOM.

This book is designed to move corporations from thinking that diversity equals equal rights to valuing and managing diversity. The book includes an action plan for determining what elements influence a company's philosophy about diversity. The action plan also helps top management to determine if their company's philosophy promote or hinder diversity management initiatives and identify a plan for changes.

1B   *Diversity in the Workplace: Diversity and Affirmative Action*

Broadnax, W. D. 2000. *Diversity and Affirmative Action in Public Service.* Westview Press.

In *Diversity and Affirmative Action in Public Service*, Walter Broadnax brings together much of the most influential research and thought in public administration literature regarding diversity and affirmative action. He examines issues such as equal employment opportunity, gender

discrimination, creating a representative bureaucracy, age discrimination, and disabilities in detail by drawing on the best work in the *Public Administration Review*.

1C *Diversity in the Workplace: Global Diversity*

Wilson, T. 2nd ed. 2002. *Global Diversity at Work: Winning the War for Talent.* New York: John Wiley & Sons.

Whether waging the war for talent on a global level (as labor migrates across borders), or managing an increasingly diverse workforce, corporate interest in the issue of diversity is at an all-time high. Featuring examples and best practices from companies such as Ernst & Young, IBM and Nortel, *Global Diversity at Work* provides a proven process for implementing a diversity strategy successfully and offers tools for measuring the success of your initiatives. This hands-on practical guide shows that by implementing a diversity strategy, organizations gain a better understanding of their customers, attract and retain the best employees more effectively, and as a direct result increase productivity and improve the bottom line.

1D *Diversity in the Workplace: Managing Diversity in the 21st Century*

Lawson, G. 2001. *Diversity Management for the 21st Century.* Gary Lawson.

This book tells a fictional story of a company's struggles to remain competitive in a sluggish economy. They are faced with maintaining a "qualified" workforce in the midst of changing demographics in the labor pool and the consumer market. To improve performance the company institutes Diversity Management for the 21st Century.

1E *Diversity in the Workplace: Minority Executives*

Thomas, D. A. and J. J. Gabarro. 1999. *Breaking Through: The Making of Minority Executives in Corporate America.* Boston: Harvard Business School Press.

This study focuses on minorities who have made it to the top by examining the crucial connection between corporate culture and the advancement of people of color. *Breaking Through* profiles minority executives at three different firms who encountered—and conquered—barriers throughout their careers. It then contrasts their successes with the experiences of white executives who have reached upper management, and with white and minority middle managers coming to grips with stalled careers at the same companies.

1F   *Diversity in the Workplace: Transforming the Workplace*

Kossek, E. E. and S. A. Lobel. (eds.). 1996. *Managing Diversity: Human Resource Strategies for Transforming the Workplace.* Cambridge, Massachusetts: Blackwell Business.

This report discusses equal employment opportunity law and the implications of a diverse labor market on human resource planning, staffing, mentoring, performance appraisal, training, compensation human resource strategies to support diversity in work and personal lifestyles unions, collective bargaining, and managing disability-based diversity.

Human Capital Management

2A   *Human Capital Management: Knowledge Management*

Cleveland, H. and W. G. Bennis. 2002. *Nobody in Charge: Leadership in the Knowledge Environment.* New York: John Wiley & Sons.

The fourteen essays in this collection have an underlying theme: with everything getting more complicated, nobody can possibly know enough to be in general charge of anything really interesting or important. Cleveland argues that this means everybody has a chance to be partly in charge; but since most people won't reach for the brass ring, those who do will be leaders, mostly self-selected. *Nobody in Charge* suggests how and why the worldwide spread of knowledge, speeded and enhanced by information technology, is fundamentally changing what it takes to bring people together to make something different happen in business and government and education and in international affairs. Sprinkled with stories from his own experience and observation, Cleveland describes the attitudes, qualities, and learnings that will work best for people who point the way, create networks, build organizations, and inspire others to act. He also examines the ethics of public leadership and the education of citizens in societies where a rapidly growing proportion of citizens will opt for leadership.

2A   *Human Capital Management: Knowledge Management*

Drucker, P. F. 1st ed. 1993. *Post-Capitalist Society.* New York: HarperBusiness.

This book provides perceptive views on the "post-capitalist" era, which, according to Drucker, got under way shortly after WW II. The author notes that every few centuries the West undergoes a convulsive transformation that, within 50 or so years, ushers in a whole new world. Identifying the Renaissance and Industrial Revolution as prior turning points, he asserts that the Global Village is in the midst of another watershed makeover that

has already caused substantive changes in its economic, moral, political, and social landscapes. Drucker says that the emergence of so-called "knowledge workers'' able to put their specialized learning and/or competencies to use suggests that employees now own "the means of production" and that knowledge (not labor, land, or other forms of capital) has become the planet's primary resource. Although the author concludes that markets will remain the effective integrators of economic activity, he believes that the implications of the ongoing shift will prove increasingly significant for the management of commercial enterprises and other key institutions.

2A *Human Capital Management: Knowledge Management*

Milner, E. M. 2000. *Managing Information and Knowledge in the Public Sector.* New York: Routledge.

For the public sector, which is globally the largest employer of people and repository of information, managing information and knowledge is an extremely problematic area to address. The essence of both resources is that they are intangible, their impact and value cannot be measured through traditional accounting methods, yet they are also, paradoxically, where the greatest value and potential for improvement is located.

2A *Human Capital Management: Knowledge Management*

Wenger, E. 1998. *Communities of Practice: Learning, Meaning, and Identity.* Cambridge, New York: Cambridge University Press.

Today's marketplace is fueled by knowledge. Yet organizing systematically to leverage knowledge remains a challenge. Leading companies have discovered that technology is not enough, and that cultivating communities of practice is the keystone of an effective knowledge strategy. Communities of practice come together around common interests and expertise—whether they consist of first-line managers or customer service representatives, neurosurgeons or software programmers, city managers or home-improvement amateurs. They create, share, and apply knowledge within and across the boundaries of teams, business units, and even entire companies providing a concrete path toward creating a true knowledge organization.

2A *Human Capital Management: Knowledge Management*

Wenger, E., et al 1st ed. 2002. *Cultivating Communities of Practice: A Guide to Managing Knowledge.* Boston: Harvard Business School Press.

The authors argue that while communities form naturally, organizations need to become more proactive and systematic about developing

and integrating them into their strategy. This book provides practical models and methods for stewarding these communities to reach their full potential—without squelching the inner drive that makes them so valuable. Through in-depth cases from firms such as Daimler Chrysler, McKinsey & Company, Shell, and the World Bank, the authors demonstrate how communities of practice can be leveraged to drive overall company strategy, generate new business opportunities, tie personal development to corporate goals, transfer best practices, and recruit and retain top talent. The authors define the unique features of these communities and outline principles for nurturing their essential elements. They provide guidelines to support communities of practice through their major stages of development, address the potential downsides of communities, and discuss the specific challenges of distributed communities. Also, they show how to recognize the value created by communities of practice and how to build a corporate knowledge strategy around them.

2B *Human Capital Management: Learning Organizations*

Senge, P., et al. 1999. *The Dance of Change: The Challenges to Sustaining Momentum in Learning Organizations: A Fifth Discipline Resource.* New York: Currency/Doubleday.

This book identifies universal challenges that organizations ultimately find themselves confronting, including the challenge of "Fear and Anxiety"; the need to diffuse learning across organizational boundaries; the ways in which assumptions built in to corporate measurement systems can handcuff learning initiatives; and the almost unavoidable misunderstandings between "true believers" and nonbelievers in a company. Filled with individual and team exercises, in-depth accounts of sustaining learning initiatives by managers and leaders in the field, and well-tested practical advice, *The Dance of Change* provides an insider's perspective on implementing learning and change initiatives at such corporations as British Petroleum, Chrysler, Dupont, Ford, General Electric, Harley-Davidson, Hewlett-Packard, Mitsubishi Electric, Royal Dutch/Shell, Shell Oil Company, Toyota, the United States Army, and Xerox. It offers crucial advice for line-level managers, executive leaders, internal networkers, educators, and others who are struggling to put change initiatives into practice.

2C *Human Capital Management: Managing Human Capital*

KPMG LLP. 2001. *Building Human Capital: The Public Sector's 21st Century Challenge.* [Online]. Available: http://www.fei.org/download/Human,Capital.pdf

The U.S. government—one of the largest employers in the world—is in trouble. Once a beacon of hope for thousands of young people drawn to John F. Kennedy's call in the 1960's for public service, the federal government today is on the verge of a human capital crisis that could undermine dozens of public services on which Americans depend and take for granted. Fixing the problem will be one of the government's toughest challenges of the early twenty-first Century.

2D *Human Capital Management: Evolving Practices*

Ban, C. and N. Riccucci, et al. (eds.). 3rd ed. 2001. *Public Personnel Management: Current Concerns, Future Challenges.* Longman.

This book examines the cycles of reform in public personnel management and in public management as a whole. It focuses on current reform efforts in federal, state, and local levels. *Public Personnel Management* presents the range of political, economic, and social changes that provide the impetus for reform and addresses issues such as the continuing debate over affirmative action and diversity as well human resources challenges.

2D *Human Capital Management: Evolving Practices*

Condery, S. E. 1998. *Handbook of Human Resource Management in Government.* San Francisco: Jossey-Bass.

This book address issues such as diversity in the workplace, managing an aging workforce, employee recruitment and selection, utilizing volunteers, the role of the manager in employee motivation, the changing role of the personnel office, and civil service systems.

2D *Human Capital Management: Evolving Practices*

Kraunt, A. I. and A. K. Korman. (eds.). 1999. *Evolving Practices in Human Resource Management : Responses to a Changing World of Work.* San Francisco: Jossey-Bass.

During the last two decades, fundamental changes have taken place in the world of work. These changes, (i.e., the switch from individual to team based work, the interweaving of jobs with technology, and more limited leadership and supervision) have had a dramatic impact on HR practices. Everything—from traditional HR functions such as "personnel administration," to the more recent areas of training, resource development, and performance improvement—is being scrutinized for the value it adds to making companies competitive, flexible, and productive. In *Evolving Practices in Human Resource Management*, the contributors explore the changes that are taking place and the impact those changes have had, and will continue to have, on human resource management concepts and practices.

2D　*Human Capital Management: Evolving Practices*

Ulrich, D., et al. 1997. *Tomorrow's HR Management: 48 Thought Leaders Call for Change.* New York: John Wiley & Sons.

In this volume, 48 HR executives, consultants, and scholars from around the world offer their views on the future of the HR field and prescribe courses of action that will help CEOs and HR managers shape that future. Each of the book's six sections advocates a strategic goal designed to increase HR productivity, efficiency, and adaptability. Each chapter analyzes obstacles and formulates tactics designed to help reach these goals and provides information on how to: manage HR like a business—define and deliver clear outcomes; play new roles in the competitive environment of the future; prepare for the future; build an infrastructure and discover how to measure progress; remember the human in Human Resources; and go global through advances in technology.

Leadership

3A　*Leadership: Accountability*

Horton, T. R. 1992. *The CEO Paradox: The Privilege and Accountability of Leadership.* New York: American Management Association.

Discusses how leaders (and would-be leaders) can nurture the highest qualities within themselves, make informed decisions, bring out the best in subordinates, avoid classic mistakes, and cultivate both the "inner" and "outer" person, in order to become an effective, accountable CEO.

3B　*Leadership: Best Practices*

Bergmann, H., et al. 1999. *Everyone a Leader: A Grassroots Model for the New Workplace.* New York: John Wiley & Sons.

Based on a study that involved 2,000 people across 450 organizations, *Everyone A Leader* explores the critical moments when employees at all levels step forward into leadership roles. The findings are summarized in five key strategies the authors call the CLIMB model of leadership effectiveness: create a compelling future, let the customer drive the organization, involve every mind, manage work horizontally, and build personal credibility.

3B　*Leadership: Best Practices*

Collins, J. C. and J. Collins. 2001. *Good to Great: Why Some Companies Make the Leap…and Others Don't.* HarperCollins Publishers.

Explores the way good organizations can be turned into ones that produce great, sustained results. After establishing a definition of a good-to-great transition that involves a 10,year fallow period followed by 15 years of increased profits, the research team combed through every company that has made the Fortune 500 (approximately 1,400) and found 11 that met their criteria, including Walgreen's, Kimberly Clark and Circuit City. At the heart of the findings about these companies' stellar successes is what Collins calls the Hedgehog Concept, a product or service that leads a company to outshine all worldwide competitors, that drives a company's economic engine and that a company is passionate about.

3A   *Leadership: Accountability*

Radin, B. 2002. *The Accountable Juggler: The Art of Leadership in a Federal Agency.* Washington, DC: Congressional Quarterly Books.

Radin asserts that while accountability is a commonplace term in the government lexicon, it has escaped precise definition, leaving managers at a disadvantage when trying to monitor the performance of their programs. In *The Accountable Juggler*, Radin looks at the U. S. Department of Health and Human Services, which with 300 programs, 60,000 employees and a budget of over $400 billion comprises an ideal canvas for illustrating competing accountability demands. The book addresses the question: how should a manager handle different accountability expectations? And discusses issues such as strategies of centralization and decentralization, coordination with state and localities, leadership and program design.

3B   *Leadership: Best Practices*

DePree, M., et al. 1990. *Leadership Is an Art.* Dell Publishing Company.

In what has become a bible for the business world, the successful CEO of Herman Miller, Inc., explores how executives and managers can learn the leadership skills that build a better, more profitable organization.

3B   *Leadership: Best Practices*

Gibson, R. (ed.). 1997. *Rethinking the Future: Rethinking Business, Principles, Competition, Control & Complexity, Leadership, Markets and the World.* Sonoma, California: Nicholas Brealey.

Rethinking The Future examines the changing role of the leader and the powerful influence of corporate culture. It also looks at strategies for creating tomorrow's competitive advantages and tomorrow's markets, which will be driven by new demographics, new global structures, and new technology.

3B *Leadership: Best Practices*

Kramer, J. A. 2001. *The Jack Welch Lexicon of Leadership: Over 250 Terms, Concepts, Strategies & Initiatives of the Legendary Leader.* New York: McGraw-Hill.

In creating of the world's most competitive corporations, Welch created his own lexicon, a new language that gave voice to the new methods and strategies that transformed GE from a century,old bureaucracy into a global juggernaut. *The Jack Welch Lexicon of Leadership* is alphabetically organized and includes more than 250 of the words, ideas, concepts, tools, and strategies used or created by Welch and GE between 1981 and 2001 such as "Boundaryless," "Six Sigma," "Master Black Belts" and "Green Belts."

3B *Leadership: Best Practices*

Lynch, R. 1st ed. 1993. *Lead!: How Public and Nonprofit Managers can Bring out the Best in Themselves and Their Organizations.* San Francisco: Jossey-Bass.

This book discusses leadership, executive ability, and organizational change.

3B *Leadership: Best Practices*

Maccoby, M. 1981. *The Leader: A New Face for American Management.* New York: Simon and Schuster.

This book discusses leadership and organizational effectiveness.

3B *Leadership: Best Practices*

Schiro, J. J. (ed.). 2000. *Memos to the President: Management Advice From the Nation's Top CEOs.* New York: John Wiley & Sons.

Memos to the President is based on the premise that the management challenges facing government, business, and the nonprofit sectors today are more similar than they are different. The goal of this book is to share the experiences of some of the nation's best CEOs with both the president-elect of the United States and the men and women who run departments and agencies and conduct the business of government.

3B *Leadership: Best Practices*

Welch, J. and J. A. Byrne. 2001. *Jack: Straight From the Gut.* Warner Books, Inc.

In *Jack: Straight from the Gut*, Welch recounts his career and the style of management that helped to make GE one of the most successful companies of the last century. Beginning with his childhood in Salem, Mas-

sachusetts, Welch discusses his career path—from his first job in GE's plastics division to his ambitious rise up the GE corporate ladder, which culminated in 1981.

3C *Leadership: Coaching*

Bianco, Mathis, V., et al. 2002. *Leading From the Inside Out: A Coaching Model.* Thousand Oaks, California: Sage Publications.

    Leading From the Inside Out: A Coaching Model presents a holistic view of coaching that provides leaders a framework for personal and professional growth. The authors' five-step approach is designed for leaders to develop themselves, their teams, their organizations, and their communities. Their model is composed within a framework of recent literature and research, presented as a practical, straightforward process. The book defines what coaching is and illustrates the key steps in the coaching process, including establishing the coaching relationship, collecting and analyzing data, and evaluating performance. The authors incorporate stories and cases from their clients so leaders can learn from their experiences, and include worksheets, job aids, scorecards, and other hands-on development tools.

3C *Leadership: Coaching*

Goldsmith, M., et al. 2000. *Coaching for Leadership: How the World's Greatest Coaches Help Leaders Learn.* San Francisco: Jossey-Bass/Pfeiffer.

    This is the first book to consolidate the views of the best practitioners and theoreticians in the area of coaching. Readers will learn about the best practices in the coaching field and will find real forms and templates they can use to put their learning to work in their own setting. All the key thinkers are here: Edgar Schein, Richard Leider, Jim Kouzes and Barry Posner, Chip Bell, James Belasco, Beverly Kaye, David Noer, and Roosevelt Thomas. Contributors cover all the core areas as well as focus topics including female executives, global leadership, and diversity.

3D *Leadership: Contemporary Issues*

Patterson, K., et al. 1996. *The Balancing Act: Mastering the Competing Demands of Leadership.* Cincinnati, Ohio: Thomson Executive Press.

    This book focuses on the practical theories and skills required of leaders who must meet the complex and competing demands of multiple stakeholders. *The Balancing Act* defines the central task of leadership as bringing competing forces into equilibrium: taking diverse groups of people—each with different expectations and demands—and arriving at a state of balance where each stakeholder is willing and able to continue in the relationship and employees are willing and able to meet stakeholder

demands. It teaches how to master the task of serving increasingly demanding stakeholders in an increasingly competitive environment.

3D *Leadership: Contemporary Issues*

Rosenbach, W. E. and R. L. Taylor. (eds.). 5th ed. 2001. *Contemporary Issues in Leadership.* Boulder: Westview Press.

   This book includes a compilation of writings by well-renowned authors. Some of the topics addressed in the book include: power and leadership in organizations, leadership and loyalty, credibility, diversity, future leaders, leadership in the 21st Century, mentoring, empowerment, networking, and leadership and culture building.

3B *Leadership: Contemporary Issues*

Thompson, F. (ed.). 1993. *Revitalizing State and Local Public Service: Strengthening Performance, Accountability, and Citizen Confidence.* San Francisco: Jossey-Bass.

   Sponsored by the National Commission on the State and Local Public Service, this book gathers expert researchers' contributions on the ongoing debate over reforming public service. This book provides a knowledge base for everyone involved in the work of revitalizing state and local public service. It focuses on coping with five critical challenges that go to the heart of the revitalization effort: executive leadership, workforce management, information technology, privatization of service delivery, and healthcare.

3E *Leadership: Decision,Making*

Sanders, R. 1999. *The Executive Decision Making Process: Identifying Problems and Assessing Outcomes.* Westport, Connecticut: Quorum.

   The author talks about the importance of recognizing problems and determining how to go about addressing them. He suggests that executives ask themselves a number of key questions such as: Does the executive have a problem?; In recognizing problems, what kind of processes do executives use in their investigations?; To what degree are problems caused by a failure in the internal dynamics of human performance?; To what degree are problems caused by a failure in external conditions?; and, To what degree are problems caused by a failure in the interaction between internal human performance and external environmental conditions?

3F *Leadership: Emotional Intelligence*

Goleman, D. I. 2002. *Primal Leadership: Realizing the Power of Emotional Intelligence.* Boston: Harvard Business School Press.

In *Primal Leadership*, Daniel Goleman and his coauthors present the case for cultivating emotionally intelligent leaders. Since the actions of the leader apparently account for up to 70 percent of employees' perception of the climate of their organization, Goleman and his team emphasize the importance of developing what they term "resonant leadership." Focusing on the four domains of emotional intelligence—self-awareness, self-management, social awareness, and relationship management—they explore what contributes to and detracts from resonant leadership, and how the development of these four emotional intelligence competencies spawns different leadership styles.

3G *Leadership: Effective Executive*

Drucker, P. F. 1993. *The Effective Executive.* New York: HarperBusiness.

The measure of the executive, Peter Drucker maintains, is the ability to "get the right things done." This usually involves doing what other people have overlooked as well as avoiding what is unproductive. Intelligence, imagination, and knowledge may all be wasted in an executive job without the acquired habits of mind that mold them into results.

3H *Leadership: Leading Change*

Beer, M. and N. Nohria, (eds.). 2000. *Breaking the Code of Change.* Boston, Massachussetts: Harvard Business School Press.

In *Breaking the Code of Change*, editors Michael Beer and Nitin Nohria provide a crucial starting point on the journey toward unlocking our understanding of organizational change. The book is based on a dynamic debate attended by the leading lights in the field—including scholars, consultants, and CEOs who have led successful transformations—and presents a series of articles, written by these experts, that collectively address the question: *How can change be managed effectively?*

3H *Leadership: Leading Change*

Bower, M. 1997. *The Will to Lead: Running a Business With a Network of Leaders.* Boston: Harvard Business School Press.

The Will to Lead draws on Bower's 60 years of experience to present his highly personal vision of how to lead people to work together. Raising serious questions about "command-and-control" leadership, Bower urges the creation of companies based on networks of leaders and leadership teams.

3H *Leadership: Leading Change*

Catlin, K., et al. 2001. *Leading at the Speed of Growth.* Hungry Minds, Inc.

The authors listened to over 500 entrepreneurs in developing the ideas put forth in *Leading at the Speed of Growth*. They have included many of the observations and perceptions of these entrepreneurs who have "been there, done that," both successfully and unsuccessfully. These leaders share their triumphs but also tell about the pain of getting there.

3H   *Leadership: Leading Change*

Fullan, M. 2001. *Leading in a Culture of Change.* New York: John Wiley & Sons.

Business, nonprofit, and public sector leaders are facing new and daunting challenges—rapid-paced developments in technology, sudden shifts in the marketplace, and crisis and contention in the public arena. If they are to survive in this chaotic environment, leaders must develop the skills they need to lead effectively no matter how fast the world around them is changing. *Leading in a Culture of Change* offers new and seasoned leaders' insights into the dynamics of change and presents a unique and imaginative approach for navigating the intricacies of the change process. Michael Fullan—an internationally acclaimed expert in organizational change—shows how leaders in all types of organizations can accomplish their goals and become exceptional leaders. He draws on the most current ideas and theories on the topic of effective leadership, incorporates case examples of large scale transformation, and reveals a remarkable convergence of powerful themes or, as he calls them, the five core competencies. By integrating the five core competencies—attending to a broader moral purpose, keeping on top of the change process, cultivating relationships, sharing knowledge, and setting a vision and context for creating coherence in organizations—leaders will be empowered to deal with complex change. They will be transformed into exceptional leaders who consistently mobilize their compatriots to do important and difficult work under conditions of constant change.

3H   *Leadership: Leading Change*

Kotter, J. P. 1996. *Leading Change.* Boston: Harvard Business School Press.

Kotter's thesis is that strategies for change often fail in corporations because the changes do not alter behavior. He identifies the most common mistakes in effecting change, offering eight steps to overcoming obstacles. The eight-step process consists of establishing a sense of urgency by analyzing competition and identifying potential crises; putting together a powerful team to lead change; creating a vision; communicating the new vision, strategies, and expected behavior; removing obstacles to the change and encouraging risk taking; recognizing and rewarding short-

term successes; identifying people who can implement change; and ensuring that the changes become part of the institutional culture for long-term transformation and growth.

3H *Leadership: Leading Change*

Kouzes, J. M. and B. Z. Posner. 1996. *The Leadership Challenge.* San Francisco: Jossey-Bass.

This book emphasizes the critical role of leadership in human organizations. It offers guidelines for business, government, education, and community sectors that take into account the ever-changing needs of modern-day life. Drawing on a wealth of new data, the book offers up-to-the-minute insights into the organizational challenges inherent in our climate of dizzying change. Also, it helps people turn challenges into leadership and provides an excellent approach to continuous improvement.

3H *Leadership: Leading Change*

Sugarman, B. 2000. *A Learning-Based Approach to Leading Change.* Arlington, Virginia. The PricewaterhouseCoopers Endowment for the Business of Government.

To move an organization toward becoming a learning organization, Sugarman presents the *Learning-Based Change Model*. This model takes the approach of introducing new ideas, then nurturing and protecting them while they grow stronger. It relies to a great extent on the power of the grassroots rather than on change from the top down. Sugarman presents three case studies of ongoing learning-based change initiatives in three different federal government agencies, which were working in partnership with the Society for Organizational Learning to pilot a new model of learning-based change.

3I *Leadership Development*

Albrecht, K. 1996. *Creating Leaders for Tomorrow.* Portland, Oregon: Productivity Press.

Discusses the need for leadership at all levels, how to create leaders, understanding leadership, the dimensions of service leadership, leadership at the top, the middle and the front, as well as finding and developing tomorrow's leaders.

3I *Leadership: Leadership Development*

Bennis, W. G. 1989. *On Becoming a Leader.* Reading, Massachusetts: Addison-Wesley. Publishing. Co.

In *On Becoming a Leader*, Warren Bennis shows how individuals develop leadership traits and how organizations encourage or stifle potential leaders. Bennis profiles dynamic figures from diverse business arenas—Fortune 500 companies, the entertainment industry and political and nonprofit groups—to demonstrate how all leaders share distinctive characteristics.

3I *Leadership: Leadership Development*

Blunt, R. 2000. *Leaders Growing Leaders: Preparing the Next Generation of Public Service Executives.* Arlington, Virginia: The PricewaterhouseCoopers Endowment for the Business of Government.

  This research focuses on the practices of public sector leaders and organizations with a track record of developing other leaders while also producing significant organizational change. In this report, Ray Blunt describes what current senior executives can do now to "grow" their successors.

3I *Leadership: Leadership Development*

Blunt, R. 2001. *Organizations Growing Leaders.* Arlington, Virginia: The PricewaterhouseCoopers Endowment for the Business of Government.

  This project identifies the "best practices" of several federal and state government agencies and the methods they have used to work within the public service culture to grow leaders and to produce significant results.

3I *Leadership: Leadership Development*

Colvard, J. E. 2002. *Developing Future Leaders.*

  In *Developing Future Leaders* James Colvard asserts that organizations exist to achieve intended outcomes through purposeful activity. Colvard states that in the complex processes of organizations outcomes are determined by coordinated activities, which require management. He also states that desired outcomes change over time and require changes in activities intended to achieve them, which require anticipating and adapting to those changes, or leadership—not management.

3I *Leadership: Leadership Development*

McCauley, C.D. et al. (eds.). 1998. *The Center for Creative Leadership Handbook of Leadership Development.* San Francisco: Jossey-Bass.

  The Center for Creative Leadership Handbook of Leadership Development is a thorough explanation of the elements of leadership development; it details the many ways individuals can enhance their leadership skills and the many ways organizations can help.

3I *Leadership: Leadership Development*

Ponder, R. D. 2nd ed. 2001. *The Leader's Guide: 15 Essential Skills.* Oasis Press.

   The Leader's Guide distinguishes between the leader and the manager. It shows how to become a better leader in today's complex business environment and presents a comprehensive approach to effective day-to-day interaction with others.

3I *Leadership: Leadership Development*

Tichy, N. M. and E. Cohen. 1998. *The Leadership Engine: How Winning Companies Build Leaders at Every Level.* New York: HarperBusiness.

   Based on extensive consultations with such leading companies as PepsiCo, Royal Dutch/Shell and Ford Motor Company, *The Leadership Engine* presents how to foster a corporate atmosphere that nurtures leadership and initiative. Tichy explains that top leaders must develop a teachable point of view on business ideas and values, and they must have a personal vision that can be codified, embodied as a story and communicated throughout the organization.

3J *Leadership: Leadership in the 21st Century*

Bennis, W. G. and R. Townsend 1st ed. 1995. *Reinventing Leadership: Strategies to Empower the Organization.* New York: W. Morrow.

   Bennis, author of *On Becoming a Leader*, and Townsend, who wrote *Up the Organization*, chat about the qualities that should characterize today's corporate leaders. Together they present a leadership plan for the twenty-first Century that reinvents existing leadership strategies and empowers both the employee and the organization.

3J *Leadership: Leading in the 21st Century*

Bennis, W. G. 1997. *Managing People is Like Herding Cats.* Provo: Executive Excellence Publishing Company.

   Cats, of course, won't be herded. And the most successful organizations in the 21st Century won't be managed—they'll be led! The answer to America's current leadership crisis is leaders (not managers) who recognize that "the only capital that really counts is human capital." The book spells out the dilemma facing our leaderless society, details the qualities that successful leaders must have, and explores the challenges that today's leaders must face as they move toward change. The 21st Century will require leaders who can inspire and orchestrate change rather than impose or simply react to it.

3J　*Leadership: Leading in the 21st Century*

Benveniste, G. 1993. *The Twenty-First Century Organization: Analyzing Current Trends, Imagining the Future.* San Francisco: Jossey-Bass Publishers.

　The Twenty-First Century Organization offers insights to help managers, planners, and policy makers in both government and business keep a competitive edge in an uncertain future—and design organizations and institutions that meet tomorrow's realities. The book reveals important trends that are shaping the way organizations are evolving and presents scenarios that these and other events may bring about in the future.

3J　*Leadership: Leading in the 21st Century*

Gawthrop, L. C. 1998. *Public Service and Democracy: Ethical Imperatives for the 21st Century.* New York: Chatham House Publishers.

　This book addresses the issues of democracy, bureaucracy, the common good, the moral dimension of democracy and the spirit of the public service among other important issues.

3J　*Leadership: Leading in the 21st Century*

Hesselbein, F., et al. 1996. *The Leader of the Future: New Visions, Strategies, and Practices for the Next Era.* San Francisco: Jossey-Bass.

　The Leader of the Future presents the views of a selection of best-selling authors, world-renowned consultants, and respected executives regarding directions critical to becoming effective leaders of the organizations of tomorrow.

3J　*Leadership: Leading in the 21st Century*

Kamp, D. 1999. *The 21st Century Manager: Future Focused Skills for the Next Millennium.* Dover, New Hampshire: Kogan Page.

　Provides a route map demonstrating how to discard conventional thinking and outdated theory and assimilate fresh ideas, creative activities, flexibility, responsiveness, and adaptability—all qualities distinguishing the manager of the next millennium.

3J　*Leadership: Leading in the 21st Century*

KPMG LLP 1997. *Organizations Serving the Public: Transformation to the 21st Century.* [Online]. Available: http://www.kpmgconsulting.com/library/pdfs/serving_the_public.pdf

　KPMG Peat Marwick LLP, the international accounting firm, states that the future of the public sector is in great jeopardy. According to the report, demographic, economic, political, economic, technological and organizational changes will transform the way the public sector conducts

its business. The report states that agencies will not be able to use "scarce resources" as an excuse for poor service. Instead, they will have to search out ways to improve their services with fewer dollars. Strategies will include consolidation, outsourcing, creating performance-based organizations, and forcing partnerships with state and local governments, non-profit organizations and private firms.

3J *Leadership: Leading in the 21st Century*

Maynard, H. B. and S. E. Mehrtens. 1993. *The Fourth Wave: Business in the 21st Century.* San Francisco: Berrett-Koehler.

Applying the concept of historical waves propounded by Alvin Toffler in *The Third Wave*, Herman Maynard and Susan Mehrtens foresee a "fourth wave," an era of integration and responsibility. They examine how business has changed in the second and third waves and must continue to change in the fourth—how an institution is organized, defines wealth, relates to surrounding communities, responds to environmental needs, and takes part in the political process.

3K *Leadership: Participative Leadership*

McLagan, P. and C. Nel. 1995. *The Age of Participation: New Governance for the Workplace and the World.* San Francisco: Berrett-Koehler Publishers.

Blending theory and practice, providing numerous examples, and drawing on more than 30 years of experience in over 200 organizations, McLagan and Nel describe what executives, managers, labor unions, customers, and suppliers can do as part of a participative enterprise.

3K *Leadership: Participative Leadership*

Pinchot, E. and G. Pinchot. 1996. *The Intelligent Organization: Engaging the Talent and Initiative of Everyone in the Workplace.* San Francisco: Berrett-Koehler Publishers.

Gifford and Elizabeth Pinchot confront head-on the key organizational issues that are threatening the very existence of today's corporations. They assert, "Bureaucracy is no more appropriate to the information age than serfdom was to the industrial era. Only freedom and community will work." They show how—by developing and engaging the intelligence, business judgment, and wide-system responsibility of all its members—an organization can respond more effectively to customers, partners, and competitors.

3L *Leadership: Power and Influence*

Vecchio, R. P. ed. 1997. *Leadership: Understanding the Dynamics of Power and Influence in Organizations.* Notre Dame, Indiana: University of Notre Dame Press.

   An anthology of key writings by renowned contributors, this volume offers advanced students of business, sociology, and psychology an excellent overview of the major issues and theories that concern the field of leadership.

3M *Leadership: Principle-Centered Leadership*

Covey, Stephen 1992. *Principle-Centered Leadership.* New York: Simon & Schuster.

   Covey offers guidelines on how to apply "Principle Centered Leadership" both at work and at home to increase quality and productivity and build personal and professional relationships in order to enjoy a more balanced, rewarding, and effective life.

3N *Leadership: Psychology of Leadership*

Channer, P. and T. Hope. 2001. *Emotional Impact: Passionate Leaders and Corporate Transformation.* New York: Palgrave.

   This book highlights the element of personality in leadership. Based on in-depth interviews with prominent leaders, including Ian MacLaurin of Tesco, Richard Ide of Volkswagen and Tim Waterstone of the Waterstone bookselling chain, the authors explore the emotional impact of being a leader.

3N *Leadership: Psychology of Leadership*

Kets de Vries, M. F. R. 1993. *Leaders, Fools, and Impostors: Essays on the Psychology of Leadership.* San Francisco: Jossey-Bass.

   Citing examples from business, history, literature, the arts, and from his own psychoanalytic and management-consulting practice, the author identifies distinct leader types. He shows that entrepreneurs possess many of the qualities of the imposter, including a capacity for self-dramatization and a deep understanding of how to profit by others' wishes and desires.

3O *Leadership: Relational Leadership*

Drath, W. H. 2001. *The Deep Blue Sea: Rethinking the Source of Leadership.* San Francisco: Jossey-Bass.

   In *The Deep Blue Sea*, Wilfred Drath traces the evolution of leadership thought toward a vision of relational leadership. By relating the story of a fictional piano company, Drath provides a comprehensive view of two tra-

ditional principles of leadership—personal dominance and interpersonal influence—that rely on notions of the individual leader who gets things done. Drath's concept of relational leadership illuminates the trends toward globalization and collaboration occurring across organizations and borders.

3P *Leadership: Results-based Leadership*

Ulrich, D., et al. 1999. *Results-Based Leadership.* Boston: Harvard Business School Press.

The authors—a university professor and two heads of consulting firms—divide leadership priorities into four areas: employees, organization, customers, and investors. A company head generally has to focus on one responsibility over the other three, but can't get away with ignoring any of them for very long. *Results-Based Leadership* shows executives how to focus in four specific areas: results for employees, the organization, its customers, and its investors.

3Q *Leadership: Successful Leaders*

Bennis, W. G., et al. (eds.). 2001. *The Future of Leadership: Today's Top Leadership Thinkers Speak to Tomorrow's Leaders.* San Francisco: Jossey-Bass.

The Future of Leadership is a tribute to Bennis' contributions to the field of leadership and includes a collection of essays by authors such as Charles Handy, James Kouzes, Barry Posner and Mihaly Csikszentmihaly. The book identifies twelve challenging issues that leaders will need to understand and learn how to resolve if they are to succeed in tomorrow's organizations. The book discusses the organization of the future; the leader of the future; and ways in which leaders continue to renew, energize, and develop themselves.

3Q *Leadership: Successful Leaders*

Blank, W. 2001. *The 108 Skills of Natural Born Leaders.* New York: AMA-COM.

According to *The 108 Skills of Natural Born Leaders*, no one is born a leader. But everyone has the natural born capacity to lead. This book identifies the skill set that causes others to see people as natural born leaders, helps readers assess their current level of these skills, and coaches readers to master the following areas: foundation skills—including self-awareness and the ability to establish rapport; direction skills—including the ability to set a course and develop others as leaders; and willing follower skills—including the ability to influence others and create a motivating environment.

3Q   *Leadership: Successful Leaders*

Blank, W. 1995. *The Nine Natural Laws of Leadership.* New York: AMA-COM.

In this book, Blank applies quantum principles to the contemporary business environment. His "quantum leadership" paradigm echoes the power of nature and reigns truer than any other leadership model.

3Q   *Leadership: Successful Leaders*

Burke, W. W., et al. 2000. *Business Climate Shifts: Profiles of Change Makers.* Boston: Butterworth Heinemann.

Features interviews with successful leaders and contains in-depth analyses of what's required to ensure successful and sustainable transformation. Introduces the principles of "business climate modeling"—a methodology for understanding the climatic changes in today's business environment.

3Q   *Leadership: Successful Leaders*

Cashman, K. 1999. *Leadership From the Inside Out: Becoming a Leader for Life.* Executive Excellence Leadership Publishing Co.

Most books on leadership see leadership only as something we do rather than as an expression of who we are. In this book, Kevin Cashman takes readers on a reflective, interactive journey through each of the seven pathways of mastery—focusing on mastery of life, rather than on mere mastery of circumstances or of managing people—to help them advance from a one-dimensional focus on external factors to a multidimensional perspective. The book promotes a non-hierarchical view that originates in the character of the person and radiates outward to enrich others. This whole-person approach is multi-dimensional and integrates multiple and interrelated pathways to leadership.

3Q   *Leadership: Successful Leaders*

Dotlich, D. L. 1st ed. 1998. *Action Learning: How the World's Top Companies are Re-creating Their Leaders and Themselves.* San Francisco: Jossey-Bass.

Dotlich and Noel are consultants who specialize in planned organizational change, and they have used action learning as a technique for more than a decade. They argue that change cannot happen unless the behavior and attitudes of the leadership of an organization are transformed, and they demonstrate that action learning can effect this so-called re-creation. The authors use examples and exercises to show how to apply the action learning model.

3Q *Leadership: Successful Leaders*

Freiberg, K. and J. Freiberg. 1998. *Nuts!: Southwest Airlines' Crazy Recipe for Business and Personal Success.* Bantam Doubleday Dell.

Southwest is considered the safest airline in the world and ranks number one in the industry for service, on-time performance, and lowest employee turnover rate. Fortune magazine has twice ranked Southwest one of the ten best companies to work for in America. How do they do it? With unlimited access to the people and inside documents of Southwest Airlines, authors Kevin and Jackie Freiberg share the secrets behind the success of Southwest Airlines.

3Q *Leadership Successful Leaders*

Heller, R. 1995. *The Leadership Imperative: What Innovative Business Leaders are Doing Today to Create the Successful Companies of Tomorrow.* New York: Truman Talley Books/Dutton.

This book profiles more than three dozen companies and their leaders to illustrate failures and successes as corporations attempt to cope with and adapt to changes in the world today. Hellers' 60 magazine feature-like chapters are grouped into 10 categories representing such major trends as the devolution of authority, restructuring, innovation, and total quality management.

3Q *Leadership: Successful Leaders*

Kotter, J. P. 1999. *What Leaders Really Do.* Boston: Harvard Business School Press

The articles in the book point out the difference between management and leadership; they advocate setting a direction rather than planning and budgeting, and motivating people rather than controlling them. In the book, Kotter summarizes the concepts he has developed over a 30,year career.

3Q *Leadership: Successful Leaders*

Maxwell, J. C. 2000. *Learning the 21 Irrefutable Laws of Leadership.* Thomas Nelson.

The author believes that to be successful in life, every person needs four skills: 1) The ability to cultivate relationships with others; 2) the ability to equip and develop other people; 3) a positive attitude; and 4) leadership ability. He wrote the book to help people develop their leadership skills based on his over thirty years of leadership experience in business and volunteer organizations.

3Q   *Leadership: Successful Leaders*

McFarland, L. J., et al. 1993. *21st Century leadership: Dialogues with 100 Top Leaders.* New York: Leadership Press.

In this book, 100 of America's greatest leaders, such as Billionaire Bill Gates, the outspoken Ross Perot, the legendary Lee Iacocca, many superb female leaders like Cathleen Black and Peggy Dulaney, top notch CEO's like Jack Welch of GE, futurist John Naisbitt, motivators Tony Robbins and Stephen Covey and Cabinet Members, Robert Reich and Donna Shalala share their life stories and secrets for success.

3Q   *Leadership: Successful Leaders*

Neff, T. J., et al. 1999. *Lessons From the Top: The Search for America's Best Business Leaders.* New York: Currency/Doubleday.

What does it really take to run a successful company today? Thomas Neff and James Citrin, U.S. chairman and managing director, respectively, of the Spencer Stuart executive-search firm, offer answers in *Lessons from the Top: The Search for America's Best Business Leaders*. In 50 short profiles, they identify and analyze the men and women who drive today's most successful corporations.

3Q   *Leadership: Successful Leaders*

Peter, K. ed. 1998. *The Book of Leadership Wisdom: Classic Writings by Legendary Business Leaders.* New York: John Wiley & Sons.

These "talks" by well-known business executives cover a wide range of subjects. Bill Gates speaks about the future; Michael Eisner discusses creativity; Ben Cohen and Jerry Greenfield believe that a corporation should support liberal social causes; and the late Roberto Goizueta, CEO of Coca-Cola, believes that business has one purpose, to make profits, period.

3Q   *Leadership: Successful Leaders*

Riccucci, N. M. 1995. *Unsung Heroes: Federal Execucrats Making a Difference.* Washington, DC: Georgetown University Press.

In *Unsung Heroes*, Riccucci addresses the question, what does it take to be an effective execucrat? Riccucci presents the stories of individuals such as Ambassador Edward Perkins, Dr. Helene Gayle, Stephen Marica, Dr. Vince Hutchins, William Black and Eileen Claussen.

3Q   *Leadership: Successful Leaders*

Snyder, N. H. and A. P. Clontz.1997. *The Will to Lead: Managing With Courage & Conviction in the Age of Uncertainty.* Chicago: Irwin Professional Publications.

The book argues that business leaders must recognize, and then take steps to solve, the forces resisting leadership. Today's problems stem from four major sources: (1) divisions in the workplace; (2) destruction of the work ethic; (3) obsession with harmony, and (4) fear of change.

3S *Leadership: The New Science*

Wheatley, M. J. 1992. *Leadership and the New Science: Learning About Organization From an Orderly Universe.* San Francisco: Berrett-Koehler Publishers.

In *Leadership and the New Science*, Margaret Wheatley discusses how the "New Science"—revolutionary discoveries in quantum physics, chaos theory, and biology that are overturning Centuries-old images of the universe—provides powerful insights into the design, leadership, and management of organizations.

3T *Leadership: Transformational Leadership*

Hock, D. 1999. *Birth of the Chaordic Age.* San Francisco: Berrett,Koehler Publishers.

Dee Hock is the man who first conceived of a global system for the electronic exchange of value, becoming the founder and CEO of VISA International. He looks critically at today's environment of command-and-control institutions and sees organizations that are falling apart, failing to both achieve their own purposes and address the diversity and complexity of society as a whole. Hock claims that the solution to this problem lies in transforming our notion of organization; in embracing the belief that the chaos of competition and the order of cooperation can and do coexist, succeed, even thrive; and in welcoming the chaordic age.

3U *Leadership: Values,Based Leadership*

O'Toole, J. 1995. *Leading Change: Overcoming the Ideology of Comfort and the Tyranny of Custom.* San Francisco: Jossey-Bass.

The book focuses on the importance of values-based leadership. Drawing heavily from history, moral and political philosophy and the practical experiences of men and women across cultures and circumstances, O'Toole denounces "situational leadership" and argues that successful leadership is grounded in high moral purpose.

3V *Leadership: Visionary Leadership*

Smilor, R., et al. 2001. *Daring Visionaries: How Entrepreneurs Build Companies, Inspire Allegiance, and Create Wealth.* Adams Media Corporation.

Daring Visionaries offers advice for entrepreneurs from writing business plans, managing employees and marketing, to developing networks, managing cash flow, raising capital and more. A section on "Managing the Dark Side" addresses the risks of failure, the perils of burnout and the difficulties faced by entrepreneurs who were "kicked up or out."

Management

4A   *Management: Best Practices*

Bolman, L. G. and T.E. Deal. 2nd ed. 1997. *Reframing Organizations: Artistry, Choice, and Leadership.* San Francisco: Jossey-Bass.

Bolman and Deal consolidate key learnings from organization theory into four perspectives or "frames": structural, human resource, political, and symbolic. Using numerous examples from business, education, health care, and the public sector, the authors demonstrate how to integrate these four frames into a strategy that can be applied to any organization.

4A   *Management: Best Practices*

Buckingham, M. and C. Coffman. 1999. *First, Break All the Rules: What the World's Greatest Managers Do Differently.* New York: Simon and Schuster.

The authors, both management consultants for the Gallup Organization, use the company's study of 80,000 managers in 400 companies to reach the conclusion that a company that lacks great frontline managers will bleed talent, no matter how attractive the compensation packages and training opportunities. With this in mind, they sought the answer to the question: "How do great managers find, focus and keep talented employees?" Using case studies, diagrams, and excerpts from interviews, Buckingham and Coffman guide us through their findings which state that discipline, focus, trust, and, most important, willingness to treat each employee as an individual are the overall secrets for turning talent into lasting performance. The book concludes with suggestions on how to become a great manager, including ideas for interviewing for talent, how to develop a performance management routine, and how to get the best performance from talented employees.

4A   *Management: Best Practices*

Drucker, P. F. 1993. *Management: Tasks, Responsibilities, Practices.* New York: Harper & Row.

"This book," in Peter Drucker's words, "tries to equip the manager with the understanding, the thinking, the knowledge and the skills for today's and also tomorrow's jobs." Drucker discusses the tools and techniques of

successful management practice that have been proven effective, which he not only makes meaningful, but also easily accessible.

4A *Management: Best Practices*

Eitington, J. E. 1997. *The Winning Manager: Leadership Skills for Greater Innovation, Quality, and Employee Commitment.* Houston, Texas: Gulf Publications.

A sourcebook of prescriptions to boost employees' morale and commitment as well as managers' own abilities. This "how to" and "why to" guide comes with self-assessment tools to help you understand yourself better and honestly assess your skills as a manager.

4A *Management: Best Practices*

Greenwald, G. and C. Madigan. 2002. *Lessons From the Heart of American Business: A Roadmap for Managers in the 21st Century.* Warner Books.

In this book Greenwald tells aspiring managers how they can achieve consensus, build partnerships, react to crisis, and steer a corporate ship through both smooth seas and storms. He presents an overall view of management that is based on principles of hard work, teamwork, respect for labor, and absolute, no-holds-barred communication.

4A *Management: Best Practices*

Halal, W. E. 1996. *The New Management: Democracy and Enterprise are Transforming Organizations.* San Francisco: Berrett-Koehler Publishers.

Drawing on hundreds of examples from progressive companies, an international survey of 426 managers, and economic trends, the author shows how enterprise and democracy are moving inside of business and government to transform institutions for the Information Age.

4A *Management: Best Practices*

Hersey, P., et al. 7th ed. 1996. *Management of Organizational Behavior: Utilizing Human Resources.* Upper Saddle River, New Jersey: Prentice Hall.

This book offers the behavioral science tools, concepts, and techniques necessary to understand organizational behavior in today's world. In addition, it provides a comprehensive examination of the applied behavioral sciences including motivation and behavior, situational leadership, building effective relationships, planning and implementing change, and leadership strategies.

4A   *Management: Best Practices*

Drucker, P. F. 2001. *The Essential Drucker: In One Volume the Best of Sixty Years of Peter Drucker's Essential Writings on Management.* Harper Collins Publishers.

   The first selection of Drucker's management work from *The Practice of Management* (1954) *to Management Challenges for the 21st Century* (1999), this book offers, in Drucker's words, "a coherent and fairly comprehensive introduction to management [and] gives an overview of my works on management and thus answers a question I have been asked again and again: which of my writings are essential?"

4A   *Management: Best Practices*

Perry, J. L. (ed.). 1996. *Handbook of Public Administration.* San Francisco: Jossey-Bass.

   The *Handbook of Public Administration* is designed to help public administrators cope with modern administrative challenges, overcome obstacles, and improve performance in government. Sponsored by the American Society for Public Administration, this completely revised and expanded version reflects both the ever-evolving changes in public administration and the continuity of practice. This edition is written by experts from diverse areas of public administration including law, politics, personnel, and operations, and has been substantially updated to reflect the most current developments and research.

4A   *Management: Best Practices*

Popovitch, M. G., et al. (eds.). 1998. *Creating High-Performance Government Organizations: Practical Guide for Public Managers.* San Francisco: Jossey-Bass.

   This book presents practical advice and tools that managers and innovators at every level of government can use in molding their organizations into results-oriented, mission-driven operations.

4B   *Management: Leadership vs. Management*

Caroselli, M. 2000. *Leadership Skills for Managers.* New York: McGraw-Hill
   Leadership Skills for Managers explores the abilities and qualities of a leader (as opposed to just a manager). Leadership attributes such as problem solving, team building, and communication are analyzed. Tools, techniques, and real-life examples help the reader develop a plan of action.

4B   *Management: Leadership vs. Management*

Colvard, J. E. 2002. *Difference Between Leadership and Management.*

Colvard asserts that while management and leadership are related and often treated as the same, their central functions are different. Managers clearly provide some leadership and leaders obviously perform some management functions. However, there are unique functions performed by leaders that are not performed by managers. He observes—based on his 40 years of experience—that mostly the public sector develops a lot good managers, but very few leaders.

4B *Management: Leadership vs. Management*

Kotter, J. P. 1990. *A Force for Change: How Leadership Differs from Management.* New York: Free Press.

Kotter discusses what leadership really means today, why it is rarely associated with larger-than-life charismatics, precisely how it is different from management, and yet why both good leadership and management are essential for business success, especially for complex organizations operating in changing environments.

4C *Management: Managing Change*

Drucker, P. F. 1995. *Managing in a Time of Great Change.* New York: Truman Talley Books/Dutton.

Drucker asserts that decisions are commitments to action and that actions are always in the present, and in the present only. But actions in the present are also the one and only way to *make the future*. Executives are paid to execute—that is, take effective action. *That* they can do only in contemplation of the present, and by exploiting the changes that have already happened.

4E *Management: Managing in the 21st Century*

Drucker, P. F. 1st ed. 1999. *Management Challenges for the 21st Century.* New York: HarperBusiness.

Looking toward the future, Drucker analyzes the forces that will impact society and business and describes how the structure of organizations must change in order to deal with them. As a prelude to his outline for managing change (and changing management) he dismisses some concepts for example, the idea that there is only a single correct organizational structure for a given situation. Drucker believes that, just as traditional management was instrumental in increasing productivity for manual work, modern management must be transformed to play a similar part in the increase in the productivity for "knowledge work," the biggest management challenge of the next century.

4E   *Management: Managing in the 21st Century*

Gardiner, G. S. 1996. *21st Century Manager: Meeting the Challenges and Opportunities of the New Corporate Age.* Princeton, New Jersey: Peterson's/Pacesetter Books.

The book discusses increasing managerial flexibility, positive and proactive problem-solving skills (PPPS), coaching, the new role of the manager, diversity and ethics.

4E   *Management: Managing in the 21st Century*

Grayson, Jr., C. J. and C. O'Dell. 1988. *American Business: A Two,Minute warning: Ten Changes Managers Must Make to Survive in the 21st Century.* Free Press.

"Through efforts to improve productivity and products, some American companies such as Xerox, Ford, and IBM are (according to this book) responding to challenges from abroad, especially from Japan. Grayson and O'Dell say failure to do so will result in America's losing preeminence. They call for adjustments in the way companies do business, warn that time is limited, and discuss the government's role.

4F   *Management: Managing Power*

Brindle, M. and L. Mainiero. 2000. *Managing Power Through Lateral Networking.* Westport, Connecticut: Quorum.

The implementation of new ideas in organizations is often hampered by the political dynamics of lateral relationships. The authors of this book offer theory and cases designed to give managers and executives strategies for dealing with power relationships in an effective way. This book highlights common mistakes people make in managing lateral relationships.

4G   *Management: Organizational Culture*

Schein, E. H. 2nd ed. 1992. *Organizational Culture and Leadership.* San Francisco: Jossey-Bass.

Refreshed with new research and new case examples, the second edition of the 1985 work defining organizational culture expands on the concept and its application to the dilemmas of corporate management.

4H   *Management: Public Management*

Brudney, J. L., et al. 2000. *Advancing Public Management: New Developments in Theory, Methods, and Practice.* Washington, DC: Georgetown University Press.

This book addresses questions such as, how much of the performance delivered by important public programs can be attributed to the efforts of

public managers, those who organize people and resources to get the job done? Which kind of managerial actions aimed at which other actors or variables and from which levels of governing apparatus, can be expected to have consequence? How can we decide which managers or agencies or programs have outperformed the rest and deserve closer study and emulation by others? What has all the fuss about "reinvention" and "reform" in public management and governance amounted to? In a world where devolution, contracting, privatization, and other such increasingly occupy center stage, what is the role of public management?

4H   *Management: Public Management*

Ingraham, P. W., et al. (eds.). 1998. *Transforming Government: Lessons From the Reinvention Laboratories.* San Francisco: Jossey-Bass.

   This book discusses issues such as new modes of organizing, characteristics and strategies of reinvention leaders, bottom-up versus top-down management strategies, overcoming employee resistance to change, the factors necessary for transforming government, alternative approaches to reform, and accountability in reformed public organizations.

4I   *Management: Trust, Performance, and Commitment*

Chambers, H. E. and R. Craft. 1998. *No Fear Management: Rebuilding Trust, Performance, and Commitment in the New American Workplace.* Boca Raton, Florida: St. Lucie Press.

   No Fear Management is intended to serve as a guide for the development of the people skills needed to ensure that a business is successful in the changing work environment of the future.

4J   *Management: The Human Side*

Heil, G., et al. 2000. *Douglas McGregor, revisited: Managing the human side of the enterprise.* New York: John Wiley & Sons.

   In *Douglas McGregor, Revisited*, Gary Heil, Warren G. Bennis, and Deborah C. Stephens open with "Why McGregor Matters," an extensive section in which his opinions are discussed as they relate to performance, cooperation, motivation, commitment, and other topics like teams. The authors conclude with selections from McGregor's work that address issues (including the changing composition of the industrial workforce, job satisfaction, and paternalism) that remain as relevant today as the day they were written.

Organizational Change

5A   *Organizational Change: Changing Workplace*

Seidman, H. 5th ed. 1997. *Politics, Position, and Power: The Dynamics of Federal Organization.* Oxford: Oxford University Press.

   The fifth edition of this classic work identifies and analyzes the implications of the shift toward administration of Federal programs by third parties such as state and local governments, nonprofit corporations, and private institutions. Seidman demonstrates how control of regulations, rather than structure, has become the center of the struggle for position and power. Through this portrayal, Seidman shows how the courts have become primary actors in the administration process. Completely updated and revised to cover the Bush and Clinton administrations, this new edition is essential for understanding the changing nature of government and public administration today.

5A   *Organizational Change: Changing Workplace*

Quinn, R. E. 1996. *Deep Change: Discovering the Leader Within.* San Francisco: Jossey-Bass.

   Discusses the potential of all employees to be agents of change and to increase their productivity and demonstrates the importance of fundamental change as a way to stay afloat in a fluid corporate environment. Offers a survival manual for finding our own internal leadership power and learning the most important skill of all to triumph in the face of change. Reveals the remarkable capacity each of us holds to change ourselves, and, ultimately, our organizations.

5B   *Organizational Change: E,Business Leadership*

Patel, K. and M. P. McCarthy. 2000. *Digital Transformation: The Essentials of E,Business Leadership.* New York: KPMG/McGraw-Hill.

   In view of the successes of business pioneers such as Cisco and FedEx, there can no longer be doubt that the future of business is inextricably bound up with the Internet. Written by the top e-business strategists at KPMG Consulting/Metrius, *Digital Transformation* provides executives with a roadmap for leading companies through the transition from business to e-business. Based, in large part, on extensive interviews with those at the forefront of the e-business revolution, *Digital Transformation* reveals the principles behind the digital transformation. Executives learn from "the source" how to make the transition to a fully Internet-enabled organization. The book includes tips and insights from Cisco CEO John Chambers, Dan Shulman, President of Priceline.com, and other e-business

gurus and reveals why some companies have been successful while others failed.

5C *Organizational Change: Culture Change*

Buzan, T., et al. 1999. *The Brainsmart Leader.* Brookfield, Vermont: Gower.

Discusses organizational change, teams in the workplace and knowledge management.

5C *Organizational Change: Culture Change*

Schein, E. H. 1999. *The Corporate Culture Survival Guide: Sense and Nonsense about Culture Change.* San Francisco: Jossey-Bass.

In *The Corporate Culture Survival Guide*, Edgar Schein illustrates how a company's culture can be deliberately created or changed. Supported by numerous case-study examples, his advice is pertinent to startups, mature companies, and blended organizations. Schein tells cautionary as well as inspiring tales of what organizational insight can mean for companies, and offers useful suggestions for putting knowledge into practice.

Women and Leadership

6A *Women: Influence and Power*

Zichy, S. 2002. *Women and the Leadership Q: Revealing the Four Paths to Influence and Power.* New York: McGraw-Hill.

Using Leadership Q—a 38,item, self-scoring, gender-neutral test, developed by Shoya Zichy and based upon the work of Carl Jung—women can identify which of the four profile groups best matches their leadership personalities as well as explore which of the eight subsets, or specific leadership styles, applies to them. *Women and the Leadership Q* includes exercises that help women further refine their own styles, build upon their strengths, and minimize their weaknesses. *Women and the Leadership Q* includes interviews and profiles of more than thirty-eight internationally well-known women including: Hillary Rodham Clinton, Governor Christie Whitman, Diane Sawyer, Dr. Nancy Snyderman, Lt. Governor Kathleen Kennedy Townsend, Wendy Wasserstein, Senator Kay Bailey Hutchison, and Alexandra Lebenthal.

6B *Women: Leadership*

Book, E. W. 2000. *Why the Best Man for the Job Is a Woman: The Unique Female Qualities of Leadership.* New York: HarperBusiness

Gone are the days when men called the shots. More and more women have replaced men or excelled over rivals in male-dominated industries

because they possess the qualities of leadership that top firms are seeking today. Esther Watch's book introduces the new Female Leader and reveals the seven key, and uniquely female, qualities of leadership that are turning the world around—and allowing more women to achieve success. Filled with insights gleaned from the country's highest-ranking businesswomen, *Why the Best Man for the Job Is a Woman* reveals how these exceptional women have soared to the top and captures their strategies for success.

6B *Women: Leadership*

Freeman, S. J. M., et al. 2001. *Women on Power: Leadership Redefined.* Boston: Northeastern University Press.

   Women have made enormous strides into the professional workplace over the last two decades, yet few have assumed leadership roles in the higher ranks of predominately male occupations: business, politics, the professions, and sports. This collection by experts in a variety of disciplines combines theoretical discussions with historical and contemporary case studies to offer a fresh view on how gender has influenced and redefined today's notions of leadership and power. The essays cover a broad range of topics, including the Boston Women's Health Book Collective, global perspectives on women's environmental activism, mothering as a catalyst to social activism, and women in the enclaves of veterinary medicine and sports.

6C *Women: Leading in the 21st Century*

McCorduck, P. and N. Ramsey. 1996. *The Futures of Women: Scenarios for the 21st Century.* Reading, Massachusetts: Addison-Wesley Publishing Co.

   Imagining the future is the first step toward realizing or avoiding it, say Pamela McCorduck and Nancy Ramsey. The duo use some science and a lot of art to project what women's lives might be like two decades hence. They paint four brave new worlds by mixing different driving forces—group vs. individual rights; sluggish vs. strong economic growth—with present-day events and trends. One scenario is a golden age of equality and opportunity. Another postulates nightmarish backlash. In a future Germany, for example, it is said that "The Berlin Wall fell on women" because state-supported child care, abortion rights, and employment were swept away after unification and economic backpedaling pushed women to the bottom of the job market. The third vision has international women's organizations working too hard to retain earlier gains to move forward. In the last hypothetical situation, women advance their lot through alliances with other women, separate from men and governments. McCorduck and

Ramsey freely admit that the complex chaos of societies and wild cards such as biological terrorism make predictions simplistic, but as we strain toward the future, their rich, imaginative book illuminates the present.

6D *Women: Management*

Tanton, M. ed. 1994. *Women in Management: A Developing Presence.* New York: Routledge.

Various authors discuss organizational barriers to women's entry into leadership positions, development programs, managing emotions, motherhood and management, women-only management training, and why women leave senior management positions among others.

6E *Women: Successful Leaders*

Helgesen, S. 1995. *The Female advantage: Women's Ways of Leadership.* Currency/Doubleday.

Sally Helgesen discovered that men and women approach work in fundamentally different ways. Many of these differences hold distinct advantages for women, who excel at running organizations that foster creativity, cooperation, and intuitive decision-making power, necessities for companies of the twenty-first Century. Helgesen's findings reveal that organizations run by women do not take the form of the traditional hierarchical pyramid, but more closely resemble a web, where leaders reach out, not down, to form an interrelating matrix built around a central purpose. The strategy of the web concentrates power at the center by drawing others closer and by creating communities where information sharing is essential. She presents her findings through unique, closely detailed accounts of four successful women business leaders—Frances Hesselbein of Girl Scouts USA, Barbara Grogan of Western Industrial Contractors, Nancy Badore of Ford Motor Company's Executive Development Center, and Dorothy Brunson of Brunson Communications. Helgesen observes their meetings, listens to their phone calls and conferences, and reads their correspondence. Her "diary studies" document how women leaders make decisions, schedule their days, gather and disperse information, motivate others, delegate tasks, structure their companies, hire, and fire personnel.

6E *Leadership: Successful Leaders*

Little, D. M. 1994. *How Women Executives Succeed: Lessons and Experiences from the Federal Government.* Westport, Connecticut: Quorum Books.

The career patterns, career progressions and career opportunities of seventy-eight successful women in the Federal government are documented in this book. The research reveals not only what women or minorities

must do to climb the managerial ladder, but also documents the significant experiences that teach them how to do so. Thirty-three major lessons of experiences and sixteen major events are carefully described and illustrated. It also analyzes the developmental stages of successful women and the barriers they encountered. The book concludes with a very practical chapter on what it takes to stay at the top and provides a capsule view of a career journey in "100 Steps to the Top."

National Academy of Public Administration

National Academy of Public Administration. 1999. *Entry-Level Hiring and Development for the 21st Century: Professional and Administrative Positions.* Washington, DC: National Academy of Public Administration.

  This report outlines a comprehensive set of changes to entry-level hiring methods to improve the quality of candidates, increase candidate knowledge of agency programs, uphold merit principles, improve process timeliness, reduce complexity and burden, and contribute to the government's goal of having a diverse workforce. The purposes of the study were to assess the effectiveness of the current entry level hiring methods for the GS,5, GS,7, GS,9 levels (all require college degree or equivalent), to survey and assess the initial development program for new hires, to recommend modifications to these current methods, and to propose new strategies that enable agencies to locate, hire and develop high-quality candidates. The report offers twelve action items for OPM to undertake to increase the flow of high quality entrants to the federal career service.

National Academy of Public Administration. 1993. *Leading People in Change: Empowerment, Commitment, Accountability.* Washington, DC: National Academy of Public Administration.

  This study's framework for managing human resources and its recommendations will assist political appointees, career bureaucrats, and managers and supervisors at all levels to implement effective human resources management initiatives for all concerned employees, managers, the agency, and most importantly, the public.

National Academy of Public Administration. 2001. *The Quest for Talent: Recruitment Strategies for Federal Agencies.* Washington, DC: National Academy of Public Administration.

  Responding to widespread recognition that the federal government's hiring process should be streamlined and expedited, this report examines ways to achieve that objective. The report focuses on three dimensions of recruiting: leadership, structure and process, and law and regulation.

National Academy of Public Administration. 2001. *A Work Experience Second to None: Impelling the Best to Serve: Retention strategies for "Wining the War for Talent."* Washington, DC: National Academy of Public Administration.

This report includes best practices, case studies, and steps for setting up an agency retention program. The research team found successful approaches to retention fall into four areas: organization environment, work environment, work–life balance, and compensation and benefits. This article provides five recommendations for both individual agency action as well as recommendations for OPM and OMB.

National Academy of Public Administration. 1999. *Building the Workforce of the Future to Achieve Organizational Success: A Compendium of Focus Papers.* Washington, DC: National Academy of Public Administration.

Considering how other organizations are addressing similar issues or problems often stimulates innovation and creativity. This compendium of Focus Papers explores the best practices of leading of leading agencies and private companies in four key human resources functions: workforce planning, recruiting for scarce skills, investing in human capital, and linking performance management to achieving organizational objectives.

National Academy of Public Administration. 2000. *Building Successful Organizations: A Guide to Strategic Workforce Planning.* Washington, DC: National Academy of Public Administration.

A collection of practical applications including a step by step approach for managers, human resource professionals, and members of workforce planning teams to use in developing and implementing workforce planning programs. The guide examines the workforce planning programs at NRCS and the Volpe Center.

National Academy of Public Administration. 2000. *Civilian Workforce 2020: Strategies for Modernizing Human Resources Management in the Department of Navy.* Washington, DC: National Academy of Public Administration.

This report analyzes the Navy's HR system and recommends ways to update it. The publication also features case studies and interviews with industry experts.

National Academy of Public Administration. 1995. *Modernizing Federal Classification: Operational Broad-Banding Systems Alternatives.* Washington, DC: National Academy of Public Administration.

This report focuses on broad-branding models designed to improve work and organizational management, classification, and pay administration.

National Academy of Public Administration. 2001. *The Transforming Power of Information Technology: Making the Federal Government an Employer of Choice for IT Employees.* Washington, DC: National Academy of Public Administration.

This study recommends specific reforms to enhance the federal government's ability to attract and retain a skilled IT workforce, alleviating its already depleted ranks. It also identifies critical steps necessary to make a successful transition to new HR and management policies for IT professionals. In addressing these issues, the study anticipates concerns and changes that may soon be felt throughout the federal government.

National Academy of Public Administration. 1998. *New Options, New Talent: The Government Guide to the Flexible Workforce.* Washington, DC: National Academy of Public Administration.

A resource for effective use of part-time, temporary, and on-call employees, whose usage is growing significantly in the federal government.

National Academy of Public Administration. 1997. *Alternative Service Delivery: A Viable Strategy for Federal Government Human Resources Management.* Washington, DC: National Academy of Public Administration.

This report is an overview of cost effective and more efficient nontraditional mechanisms for performing mainline HR functions.

National Academy of Public Administration. 1997. *Downsizing the Federal Workforce: Effects and Alternatives.* Washington, DC: National Academy of Public Administration.

An evaluation of downsizing's effectiveness in creating more efficient and effective governments. While federal agencies face shrinking budgets and great pressures to increase the efficiency and effectiveness of their programs, this report warns that indiscriminate downsizing can actually harm productivity, performance, and customer service. The report offers restructuring tips in lieu of downsizing, as well as ways to avoid increased costs and decreased productivity if political realities make reductions in force unavoidable.

National Academy of Public Administration. 1997. *Managing Succession and Developing Leadership: Growing the Next Generation of Public Service Leaders.* Washington, DC: National Academy of Public Administration.

This report is a practical guide for promoting leadership and other skills involving senior public positions.

National Academy of Public Administration. 1996. *Investment in Productivity: Successful Human Resources Development Practices.* Washington, DC: National Academy of Public Administration.

This report is an outline of the practical steps for improving federal HRD, emphasizing linkages to technology, outsourcing, strategic planning, and developing competencies.

National Academy of Public Administration. 2000. *The Case for Transforming Public-Sector Human Resources Management.* Washington, DC: National Academy of Public Administration.

This report includes an overview of changes in public sector HRM, the realignment of HR activities to support strategic goals and objectives, the changing roles and responsibilities of HR professionals and managers, changes in the role of training and development, changes in HR systems, and future trends.

Government Reports

GR 2C   *Human Capital: Human Capital Crisis*

Volcker, P. A. 1989. *The Volcker Commission Report—Leadership for America: Rebuilding the Public Service.* Washington, DC: Lexington Books.

The perception that too many of the best of the nation's senior executives were getting ready to leave government and that not enough of the nation's talented young people were willing to join the federal government—the "quiet crisis"—brought together in the summer and fall of 1987, 36 individuals with broad experience in the government and private sector to serve in the National Commission on the Public Service under the direction of Paul A. Volcker.

The Volcker Commission revisited some the same issues addressed by previous commissions such as: personnel issues of pay, recruitment and retention. However, the National Commission on the Public Service also confronted the behavioral problems of declining work,force morale, the relationship between career and political executives, and public attitudes toward the career services.

GR 2C   *Human Capital: Managing Human Capital*

United States Office of the President/Office of Management and Budget. (FY 2002). *The President' s Management Agenda—Strategic Management of Human Capital.* [Online]. Available: http://www.whitehouse.gov/omb/budget/fy2002.mgmt.pdf [2002, April].

The portion of the President's Management Agenda which deals with Human Capital issues....gives several goals and assesses the current status of the federal workforce.

The first priority of the President 's management reform initiative is to "compress" organizational levels to reduce the distance between citizens and decision-makers. Agencies should redistribute their allotted staff from higher-level positions to front-line service-delivery. Each agency has been asked to prepare a five-year restructuring plan as part of its 2003 budget request, based upon a workforce analysis, to accomplish this important goal.

Agencies will reshape their organizations to meet a standard of excellence in attaining the outcomes important to the nation. The Administration will adopt information technology systems to capture some of the knowledge and skills of retiring employees. While the Administration will be seeking some targeted civil service reforms, agencies must make better use of the flexibilities currently in place to acquire and develop talent and leadership. Such authorities are largely underutilized across the federal sector because many agencies are unaware of the existence of such flexibilities. The Administration will assess agencies' use of existing authorities as well as the outcomes achieved under demonstration projects. This assessment will help us determine what statutory changes are needed to enhance management flexibility, permit more performance-oriented compensation, correct skills imbalances, and provide other tools to recruit, retain, and reward a high-quality workforce.

GR 2C *Human Capital: Managing Human Capital*

United States Senate, Committee on Governmental Affairs, Senator, Thompson, Fred. 2001. *Government at the Brink: Urgent Federal Government Managing Problems Facing the Bush Administration (Volume I)*. Washington, DC: June 2001.

The report states, "the Bush Administration has inherited a real mess when it comes to the federal workforce." According to the report the government faces an emerging workforce—also referred to as human capital—crisis. The crisis, according to the report, is due in great part to the following factors: shortsighted cuts, top-heavy bureaucracies, a failed civil service system and a sub-par federal workforce.

GR 2C *Human Capital: Managing Human Capital*

United States General Accounting Office. 2002. *A Model of Strategic Human Capital Management.* Publication No. GAO,02,373SP. Washington, DC: March 2002.

The exposure draft of GAO's Model of Strategic Human Capital Management is intended to help federal agency leaders better manage their organization's most important asset—their people. The maturity model

is designed to help agency leaders effectively use their people, or human capital, and determine how well they integrate human capital considerations into daily decision-making and planning for the program results they seek to achieve.

GR 2C *Human Capital: Managing Human Capital*

United States General Accounting Office. 2000. *Human Capital: Managing Human Capital in the 21st Century.* Publication No. GAO/T,GGD,00,77. Washington, DC: March 9, 2000.

David M. Walker's, Comptroller General of the United States, testimony before the Sub-Committee on Oversight of Government, Restructuring, and the District of Columbia Committee on Governmental Affairs. In his testimony, Mr. Walker addresses the challenges the federal government will face in the future. He stated that to succeed the federal government will have to pay more attention to its human capital as "lack of attention to strategic human capital management [will create] a fundamental weakness in federal management, possibly even putting at risk the federal government's ability to efficiently, economically, and effectively deliver products and services to taxpayers in the future."

GR 2C *Human Capital: Managing Human Capital*

United States General Accounting Office. 1999. *Human Capital: A Self-Assessment Checklist for Agency Leaders.* Publication No. OCG,00,14G. Washington, DC: September 1999.

This report identifies several human capital elements and underlying values that are common to high-performance organizations. GAO's checklist is intended to be a relatively simple diagnostic tool to capture senior leaders' informed views of their agencies' human capital policies and practices.

GR 3A *Human Resources Management: Evolving Practices*

United States Merit Systems Protection Board. 1998. *Federal Supervisors and Strategic Human Resources Management.* [Online]. Available: http://www.mspb.gov/studies/fedlsupv.pdf Washington, DC: June 1998.

This report looks at the work of Federal supervisors in light of what MSPB has learned from its studies of Federal workplace issues and activities. It examines the problems and the causes which MSPB believes supervisor experiences in performing their human resources management responsibilities. Also, the report includes a list of actions that might be taken by Agency managers, the Office of Personnel Management and the Congress to help Federal supervisors strike a better balance between

short-term goals and long-term responsibilities as they perform their human resources management tasks.

GR 3A   *Human Resources Management: Evolving Practices*

United States Coast Guard. 2002. *Future Force (FF) 21.* [Online]. Available: http://www.uscg.mil/ff21/ [2002, May 7].

Future Force 21 is an effort to change the whole Coast Guard 's Human Resource (HR) Management System, potentially (and likely) in some very radical ways. The Flag Corps/SESs, during their most recent meeting, voted that the HR system is not serving the Coast Guard and needs a major overhaul. They agreed that the HR System was based on policies from a conscription era mindset that is about 50 years old and routinely prevents us from being an "employer of choice." The Flags/SESs were presented with 5 gradients of a new HR System ranging from status quo to a system that enables members to move between civilian, active, reserve, auxiliary, and contractor, with lateral hires throughout the "pyramid" (or perhaps a diamond-shaped workforce structure).

GR 4A   *Leadership: Accountability*

United States Merit Systems Protection Board. 1999. *Federal Supervisors and Poor Performers.* [Online]. Available: http://www.mspb.gov/studies/poorperf.pdf Washington, DC: July 1999.

The report looks at the prevalence of poor performance in the Federal workplace from the perspective of employees and supervisors who have responded to a number of MSPB surveys. The report examines what supervisors do about poor performers, the effects of supervisors' actions as well as the factors that influence supervisors' decisions when handling inadequate performance. In addition, the report offers suggestions designed to help supervisors handle and prevent poor performance in the Federal workplace.

GR 4I   *Leadership: Leadership Development*

United States Merit Systems Protection Board. *Growing Leaders: The PMI Program.* [Online]. Available: http://www.mspb.gov/studies/rpt%2008,01%20pmi_program/pmi_program.pdf Washington, DC: August 2001.

The study looked at how the U.S. Office of Personnel Management has implemented and managed the PMI program and how effective the program has been as a tool to recruit, hire, and develop individuals with managerial potential. More importantly, the study provided the opportu-

nity to look for ways to make the program more effective in helping the Government meet some of its critical human resources challenges.

GR 4J   *Leadership: Leading in the 21st Century*

Pritchard, K. H. 1999. *Competency-Based Leadership for the 21st Century.* Military Review, (May, June).

In 1999, US Army Reserve Lieutenant Colonel Kenneth H. Pritchard stated that the "predominantly unpredictable 21st Century world contains one certainty for the first 50 years: situational, operational, locational and human diversity that will require Army leaders at all levels to perform more diversified tasks with fewer Army resources." At the time, Pritchard's list of 21st Century core competencies included: Tactical, technical and technological (information/computer) proficiency; Cognitive skills and abilities, such as numerical comprehension, oral communication and problem solving; Interpersonal skills and abilities, such as skills in human relations and teamwork ability; and Personal characteristics, such as decisiveness and tenacity. In addition, his list included the following competencies: Continuous Learning, Awareness, Flexibility, Resilience, Initiative, Creativity, Entrepreneurship, Influencing Others, Partnering, and Organizational Commitment.

GR 4P   *Leadership: Results Based Leadership*

United States General Accounting Office. 2000. *Managing for Results: Challenges Agencies Face in Producing Credible Performance Information.* Publication No. GAO/GGD,00,52. Washington, DC: February, 2000.

Through the Government Performance and Results Act (GPRA), Congress has sought to improve federal management and instill a greater focus on results. Congress and the executive branch recognize, however, that performance improvements do not take place merely because a set of management requirements has been put in place. In 1997 and 2000, GAO surveyed agencies' progress toward establishing a focus on results. GAO found that progress has been uneven in building the organizational cultures to create and sustain a focus on results government-wide. A significantly higher percentage of managers in 2000 than in 1997 reported that their agencies had provided, arranged, or paid for training that would help them accomplish two results-oriented management-related tasks: setting performance goals and implementing the requirements of GPRA. Overall, the survey results show that, in some keys areas, agencies may be losing ground in their efforts toward building organizational cultures that support a focus on results. In GAO's view, the Senate confirmation process must ensure that political nominees have the appropriate management

and leadership skills needed to continue to transform federal agencies into high-performing organizations.

GR5 *Management: Managing in the 21st Century*

United States General Accounting Office. 2000. *Managing in the New Millennium: Shaping a More Efficient and Effective Government for the 21st Century.* Publication No. GAO/T,OCG,00,9. Washington, DC: March, 2000.

   The Comptroller General's testimony focuses on four topics that are critical to strengthening the performance and accountability of federal agencies and to improving the public's respect for and confidence in government. First, dynamics, such as increased globalization, rapid technological advances, demographic changes, new security concerns, and quality of life issues, are prompting basic changes in how government does its job. A higher premium is being placed on governmental responsiveness, integrated approaches, results orientation, and accountability. Second, current surpluses provide a tremendous opportunity to focus on longer-term fiscal challenges, such as health care. Third, the United States now has an opportunity and an obligation to look at what government should be doing and how it does it. Prudent decisions are required if government is to continue delivering the services that Americans want, need, and can afford. Fourth, the time is now to reconsider the fiscal and performance models, structures, and processes that Congress uses to fulfill its oversight responsibilities. Real improvements in performance and management call for disciplined and determined efforts by the executive branch and continued oversight by Congress.

GR 4C *Organizational Change: Culture Change*

United States General Accounting Office. 1995. *Transforming the Civil Service: Building the Workforce of the Future.* No. GAO/GGD,96,35. Washington, DC: December 20, 1995.

   On April 12 and 13, 1995, GAO sponsored a symposium, *Transforming the Civil Service: Building the Workforce of the Future*. The symposium was held in response to a request from Senator William V. Roth, Jr., then Chairman of the Senate Governmental Affairs Committee. The event brought together representatives of leading private sectors firms, public sector employers from both here and abroad, and distinguished federal officials to discuss new approaches to managing people. Civil Service reform is an enormously complex challenge, and the discussions provided a perspective, not a prescription for change. The report failed to answer (according to GAO) the following question: Should new HRM approaches that are based largely on private sector experience and that, thus far, have been

applied to a relatively limited extent in the public sector now be adapted to the federal civil service?

Corporate Leadership Council (CLC) Research Studies on Leadership

The CLC, a component of the Corporate Executive Board, provides best practices research and executive education to member HR executives at leading global corporations. Two recently completed studies from its leadership strategic research initiative are entitled, The Leadership Imperative, and the Voice of the Leader. The latter study is based on a survey of 8000 managers from 31 companies.

Corporate Leadership Council (CLC). 2001. Survey, The Leadership Imperative. [Online]. Available: www.clc.executiveboard.com Washington, DC: December 2001.

CLC 4B   *Leadership: Best Practices*

The Leadership Imperative: Strategies for Increasing Leadership Bench Strength.
   In today's increasingly complex and tumultuous economic environment, organizations are ever more aware of the need for leaders whose capabilities, attitudes and behaviors align with and support the organization's specific business objectives. Unfortunately, many companies are also coming to the difficult realization that their leadership bench (the current and future leaders within the organization) may lack many of the capabilities that will be critical to sustained organizational success. As a result, across organizations a renewed focus and priority are being placed on leadership development efforts. This research initiative highlights five imperatives that can guide organizations in focusing their efforts to strengthen their leadership benches. Each imperative is illustrated by a set of case studies profiling companies that have begun to address and solve the specific challenges associated with leadership development.

CLC 4I   *Leadership: Leadership Development*

The Leadership Imperative: *Council Essay.*
   Despite significant effort and resources invested in addressing leadership development challenges, leadership bench strength remains highly variable and the returns on leadership development investments alarmingly uncertain. Acknowledging that the problem involves both the quality and quantity of leaders, organizations voice an ongoing concern that they ultimately do not have enough leaders with the right skills to meet

current and future organizational challenges. Examination of the Quality/ Quantity problem suggests that it arises from two central root causes: the challenge of defining required leadership capabilities and the challenge of delivering development programs in a way that maximizes their effectiveness. The first root cause of the Quality/Quantity problem—the Capabilities Gap—underscores both the difficulty and the necessity of understanding, which attributes and skills are vital to successful leadership. Despite heavy investments in the development of organization-specific leadership competency models, the reality that competency models are often more similar than different and organizations' difficulty identifying potential leaders suggests a need to better define specific, measurable drivers of leadership success. The second challenge—the Delivery Gap—arises from the need to ensure that leaders are provided with the development opportunities that will allow them to build the "right" leadership capabilities. Voicing concern about the episodic nature of leadership development programs, organizations acknowledge that leadership development effectiveness depends heavily on devolving responsibility for leadership development to the line manager, fully integrating development activities into the leaders' daily work and aligning development plans with leaders' individual needs.

CLC 41 *Leadership: Leadership Development*

The Leadership Imperative: *Redefining Required Leadership Profiles.*

The "Voice of the Leader" (see abstract below) finding regarding the primacy of people-management and strategic planning skills raises questions about organizations' traditional assessments of employee performance. Traditional assessments, focused predominantly on individual performance against business and financial metrics, may not go far enough in offering organizations needed insight into leaders' aptitude and past achievement records in these most critical—and difficult to evaluate—areas. The first imperative, Redefining Required Leadership Profiles, attempts to answer three questions:

1. What aspects of people management and strategic planning are most important to a balanced profile of effective leadership?
2. How can organizations translate leaders' underlying aptitude for these characteristics into measurable behaviors and activities?
3. How can traditional performance-based metrics be supplemented with a reliable measure of leadership aptitude in order to more accurately evaluate the strength of the leadership bench?

CLC 4I *Leadership: Leadership Development*

The Leadership Imperative: *Targeting Future Leadership Needs.*

The second imperative for effective leadership development addresses the importance of identifying future leaders earlier in their careers and "deeper" within the organization. Having understood the importance of clearly defining required soft and hard skills for the current leadership bench—and even for specific leadership positions—organizations must ensure that they are also considering future leadership needs. This requires not only evaluation of how leadership profiles may evolve over time but also identification and development of leaders early in their careers. Leading organizations are developing programs focused on the specific needs of individuals who compose the organization's leadership "pipelines," including individuals far down in the organization and early in their careers who are likely to become future leaders. The challenge of developing future leaders requires enabling visibility—systematizing leader identification at all levels within the organization; accommodating different development needs; and (3) understanding the specific preferences of young leaders and designing leadership program brands that will appeal to and therefore attract participation by young leaders.

CLC 4I *Leadership: Leadership Development*

The Leadership Imperative: *Ensuring Manager Accountability for Leadership Development.*

Effective delivery of development strategies—especially those for which leaders themselves indicate a clear preference such as feedback and coaching—depends heavily on ensuring line manager accountability for leadership development goals. As discussed in the Council survey, Voice of the Leader, leaders indicate a clear preference for feedback and relationship-oriented development strategies, activities heavily dependent on the commitment and ability of their manager. Yet the reality for managers is that business goals come first by necessity. Even the most attentive managers typically turn to leadership development activities only after their "other work gets done." This means that development, and particularly the development of high performers (who are often identified as needing less manager attention), is often under-resourced and unsupported. The third imperative to be addressed, Ensuring Manager Accountability for Leadership Development, examines how organizations are keeping line managers' attention focused on the long, term goal of leadership development.

CLC 41 *Leadership: Leadership Development*

The Leadership Imperative: *Creating a Continuous Development Culture.*

  Seeking to overcome the episodic nature of traditional development programs, pioneering organizations look to lower-cost delivery channels to provide more continuous feedback, "virtual" peer interactions and customized online development plans. While leaders identify line managers as perhaps the highest-impact channel for leadership development, the scarcity and expense associated with manager time has prompted many organizations to explore the potential for leveraging lower, cost delivery channels, particularly the Internet, in pursuit of leadership development goals. Through the Internet, organizations can overcome the time limitations of leadership development "events" to offer leaders more ongoing, needs-driven support. In addition, given the preferences of leaders for decision-making authority as well as for customized feedback and relationship-based strategies, e-enablement may enhance leadership development activities by allowing leaders to self,direct and customize development plans online as well as to engage in "virtual" peer-to-peer mentoring opportunities. The unique potential of the electronic channel to enable real, time leadership development brings us to the fourth imperative for increasing leadership bench strength: Creating a Continuous Development Culture.

CLC 41 *Leadership: Leadership Development*

The Leadership Imperative: *Customizing Development Opportunities to Leaders' Needs.*

  The fifth imperative, Customizing Development Opportunities to Leaders' Needs, seeks to address the challenge of better aligning development resources with leaders' needs. The strategies profiled thus far demonstrate the improvements in bench strength that can result from the accurate definition of required leadership profiles, the strategic identification of leaders and the effective leveraging of manager and technological resources. This power is only further amplified when supported by an analytic precision that allows organizations to target the highest, impact development opportunities to leaders based on their individual needs and capabilities. The fifth imperative for enhancing the effectiveness of leadership development strategies, Customizing Development Opportunities to Leaders' Needs, focuses on how to better align development programs with leaders' priorities in order to provide the right development programs (in the right combination) to the right person at the right time.

Corporate Leadership Council (CLC). 2001. Survey, The Voice of the Leader. [Online]. Available: www.clc.executiveboard.com Washington, DC: September 2001.

CLC 41 *Leadership: Leadership Development*

Voice of the Leader: *A Quantitative Analysis of Leadership Bench Strength and Development Strategies—Executive Summary.*

If there are two issues that tenaciously remain at the top of the executive agenda, they are leadership and leadership development. Irrespective of company, industry and country, and regardless of cyclical fluctuations between economic expansion and contraction, organizations require effective leaders to move forward. Unfortunately, the near universal agreement about the importance of leadership development is not matched by a universal understanding of how to develop leaders. Throughout the Council's one-year review of the academic and professional literature, and across scores of research interviews, the Council was struck by both the salience of leadership development and the lack of consensus around how to effectively achieve it. Ironically, the challenge facing organizations in designing and implementing a leadership development program is not a lack of viable ideas but the converse: an overwhelming number of plausible ideas and approaches and little systematic evidence with which to make decisions. The research presented in this study is designed to help organizations make sense of this befuddled landscape. Ultimately, the goal is to help allocate (or reallocate) leadership resources to their optimal use.

The research is based on five simple premises. The first is that the systematic analysis of the views and needs of thousands of leaders will heighten our understanding of effective leadership and leadership development. Second, a logical precondition to developing leaders is to formulate a desired end-state, that is, a profile of what effective leadership might look like. Third, to develop leaders we must understand our starting point: the strengths and weaknesses of the leadership bench today. Fourth, due to limited budgets and resources, organizations must make the right choices in resource allocation to develop leaders, optimally allocating their scarce time, effort and monetary resources to the point of their greatest return. Finally, and perhaps most importantly, such decisions should not be made on the basis of guesswork, anecdotes or hunches but on empirical evidence.

CLC 41 *Leadership: Leadership Development*

Voice of the Leader: *Understanding Effective Leadership and Leadership Development.*

Perhaps no other issue unites CEOs and senior HR executives more than leadership and leadership development. The salience of this issue crosses the traditional boundaries of organization, industry and country and is equally important in times of economic growth and contraction. Concerns commonly fall into one of six categories: too few leaders within the organization; the uncertainty surrounding the requirements of effective leadership; the ability of leaders to meet those requirements; the selection of an effective leadership development strategy; the challenge of executive succession; and the challenges associated with securing the necessary resources for leadership development.

CLC 41 *Leadership: Leadership Development*

Voice of the Leader: *The Elements of Effective Leadership Profiles of Success: Which Characteristics and Skills Drive Effective Leadership?*

Strategic leadership development begins with a clear vision of the type of leader an organization seeks to develop. In order to identify the necessary ingredients of effective leadership—and to see if these vary throughout an organization—the Council asked more than 8,000 leaders to tell us what made them successful in their positions and organizations. This section of the study presents these results, mapping the characteristics and skills that drive effective leadership throughout an organization.

CLC 41 *Leadership: Leadership Development*

Voice of the Leader: *Evaluating Leadership Bench Strength State of the Bench: How Strong is the Leadership Bench in the Characteristics and Skills that are Most Important for Effective Leadership?*

The conclusion of the first section of the study was that there are clear differences in importance across the 40 characteristics examined, and that in general, those related to people management are considered to be most important, followed by strategy, then personal characteristics, then process management. With that information in hand, the second fundamental question relates to the state of leadership effectiveness across companies today. In this section of the study, the strengths of the leadership bench are examined, both in general terms and then more specifically in the areas that most matter to effective leadership.

CLC 4I   *Leadership: Leadership Development*

Voice of the Leader: *Selecting a Leadership Development Strategy Making Hard Choices: Which Leadership Development Strategies are Most Effective and for Whom?*

Sections one and two of the study focused on understanding what characteristics and skills are most important to effective leadership and how strong leadership benches are in those areas. With this organizational baseline in hand, section three of the study details the precise combination of leadership development programs that is most effective, and discusses how companies can target the right program to the right segment of the leadership bench.

CLC 4I   *Leadership: Leadership Development*

Voice of the Leader: *The State of Leadership Development—Development Report Card: How Good are Organizations at Providing Leaders with the Development Experiences They Need?*

The next step for an organization is to track the effectiveness with which they implement their current leadership development programs. Only by identifying their strengths and weaknesses can organizations begin to improve the programs that are effective an de-emphasize or discontinue those that are not. This section of the study examines both the overall effectiveness of leadership development efforts across companies and the relative effectiveness in the development areas that most matter. The lessons from this section of the analysis will inform the ongoing resource allocation debate, as well as provide the foundation for understanding the specific impact that effectively providing leadership development opportunities can have on bench strength.

CLC 4I   *Leadership: Leadership Development*

Voice of the Leader: *Reallocating Development Resources Road Map for Action: Which Development Strategies Most Improve Bench Strength?*

The remaining question is which development strategies most improve bench strength, and whether doing a better job of providing leaders what they want for ongoing development will have a discernible impact on the strength of the leadership bench. This inquiry is the focus of the fifth and final section of the study. In this section, the Council offers specific recommendations to help companies allocate scarce resources to the development programs that will have the biggest impact on increasing leadership bench strength.

CLC 4R   *Leadership: Succession Planning*

Voice of the Leader: *Overcoming Leadership Shortages with Succession Planning.*

This study underscores the importance of succession planning during periods of downsizing. Important considerations include: capturing the knowledge of departing employees, identifying skill gaps, developing employees, and implementing a long-term succession plan.
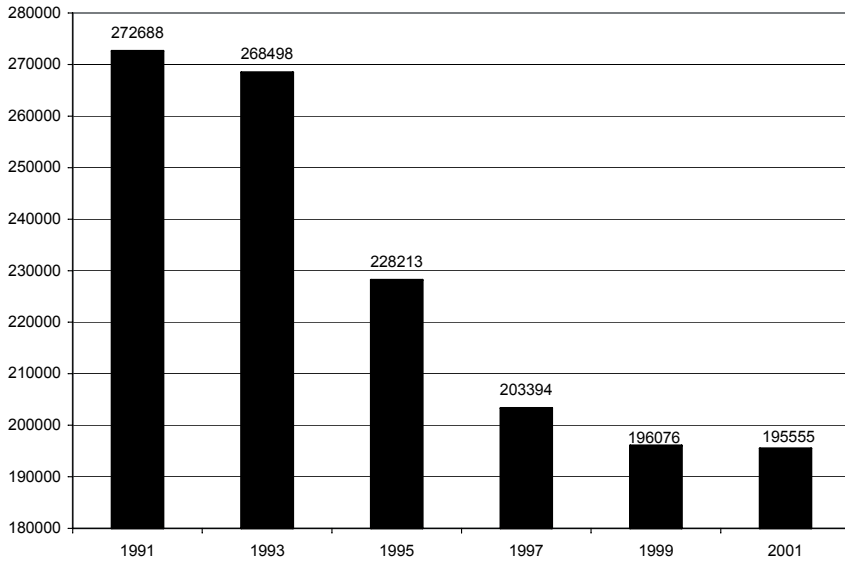
Demographic Profile of the 21st Century Federal Manager

Included herein are various charts and tables detailing major demographic changes in the federal government's leadership cadre
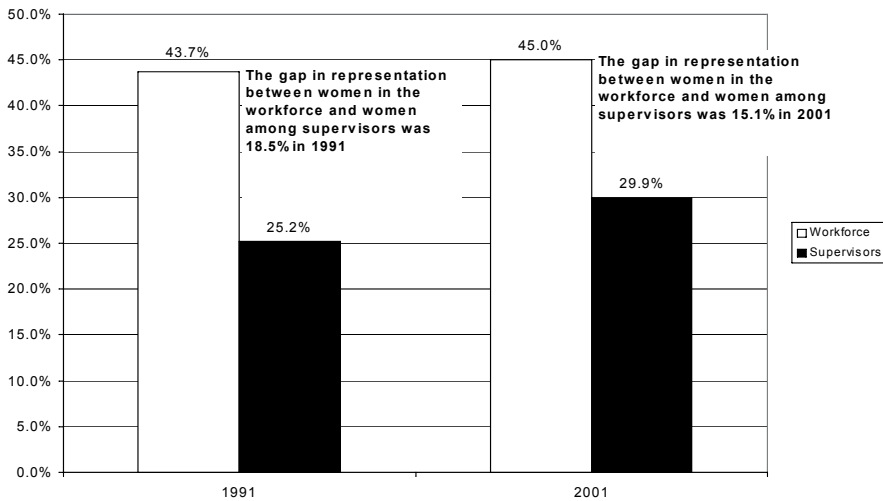
Chart 1
10 Year Reduction Trends

Supervisors and Non-Supervisors
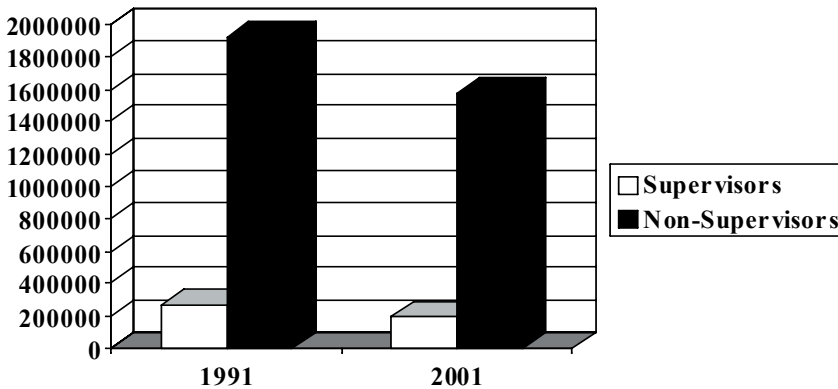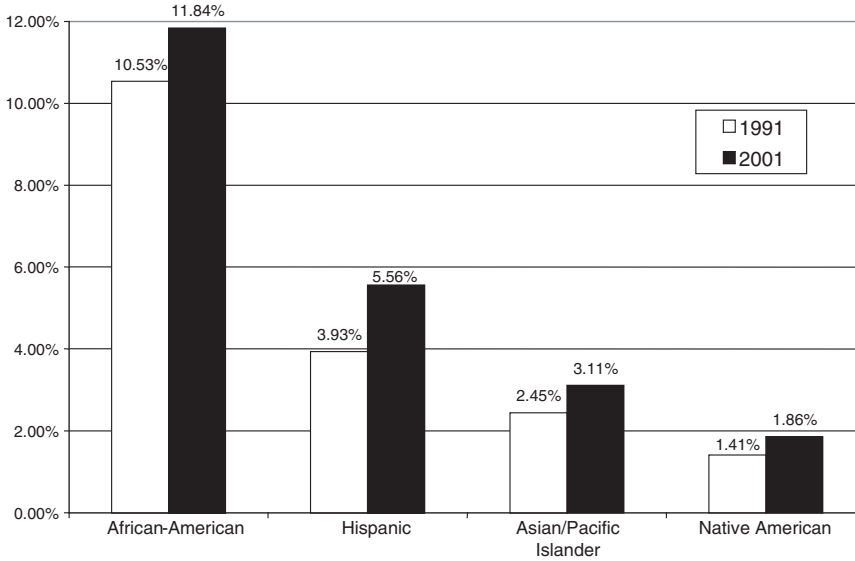
Chart 2
Reduction in Number of Supervisors by Year

Chart 3
Representation of Females

The gap in representation between women in the workforce and women among supervisors was 18.5% in 1991

The gap in representation between women in the workforce and women among supervisors was 15.1% in 2001

Chart 4
Minority Representation Among Supervisors

	1991	2001
African-American	10.53%	11.84%
Hispanic	3.93%	5.56%
Asian/Pacific Islander	2.45%	3.11%
Native American	1.41%	1.86%

Chart 5
Representation of African-Americans

The gap in representation between African Americans in the workforce and African Americans among supervisors was 6.25% in 1991

The gap in representation between African Americans in the workforce and African Americans among supervisors was 5.21% in 2001

	Supervisors	Workforce
1991	10.53%	16.78%
2001	11.84%	17.05%
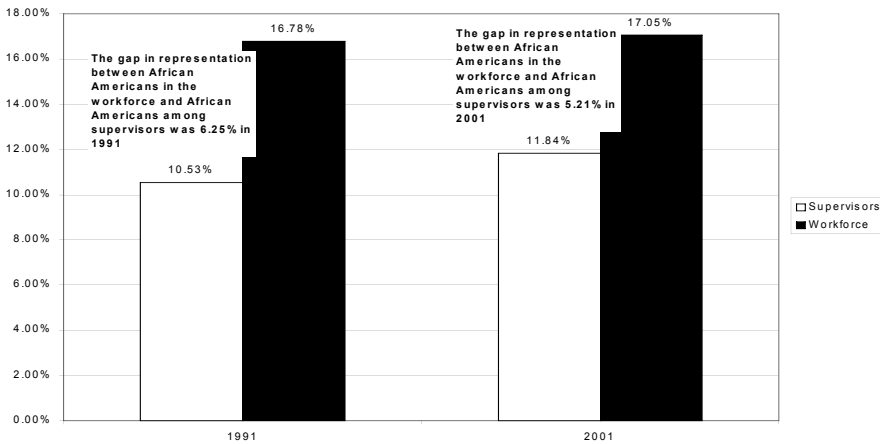
Chart 5A
Representation of Hispanics

The gap in representation between Hispanics in the workforce and Hispanics among supervisors was 1.14% in 2001

The gap in representation between Hispanics in the workforce and Hispanics among supervisors was 1.51% in 1991

8.00%
7.00%
6.00%
5.00%
4.00%
3.00%
2.00%
1.00%
0.00%

6.70%
5.56%
5.44%
3.93%

☐ Supervisors
■ Workforce

1991   2001
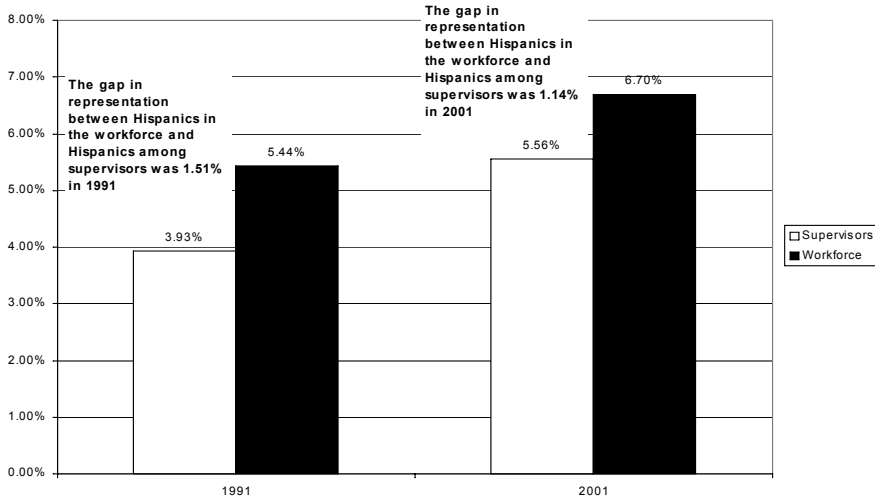
Chart 5B
Representation of Native Americans

The gap in representation between Native Americans in the workforce and Native Americans among supervisors was 0.32% in 2001

The gap in representation between Native Americans in the workforce and Native Americans among supervisors was 0.44% in 1991

2.50%
2.00%
1.50%
1.00%
0.50%
0.00%

2.18%
1.86%
1.85%
1.41%

☐ Supervisors
■ Workforce

1991   2001
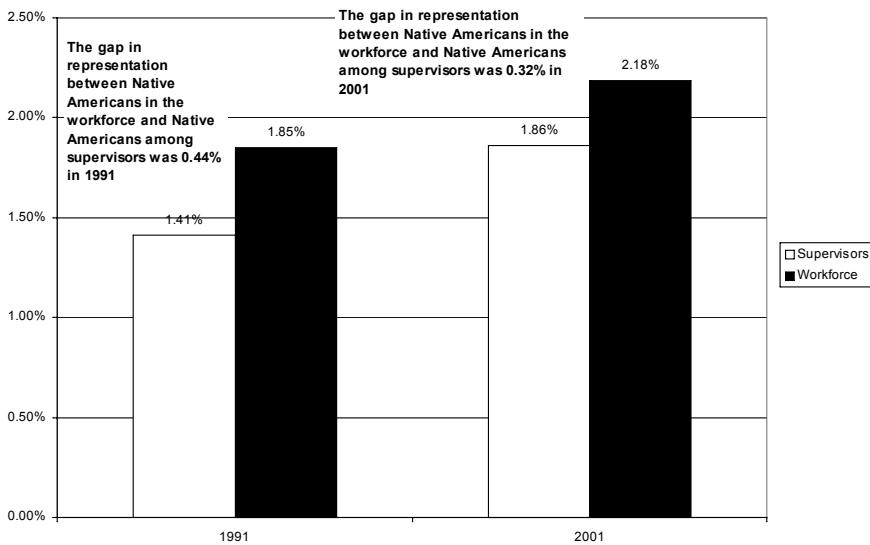
Chart 5C
Representation of Asian/Pacific Islanders

The gap in representation between Asian/Pacific Islanders in the workforce and Asian/Pacific Islanders among supervisors was 1.15% in 1991

The gap in representation between Asian/Pacific Islanders in the workforce and Asian/Pacific Islanders among supervisors was 1.52% in 2001

2.45%   3.60%   3.11%   4.63%

□ Supervisors
■ Workforce

1991   2001
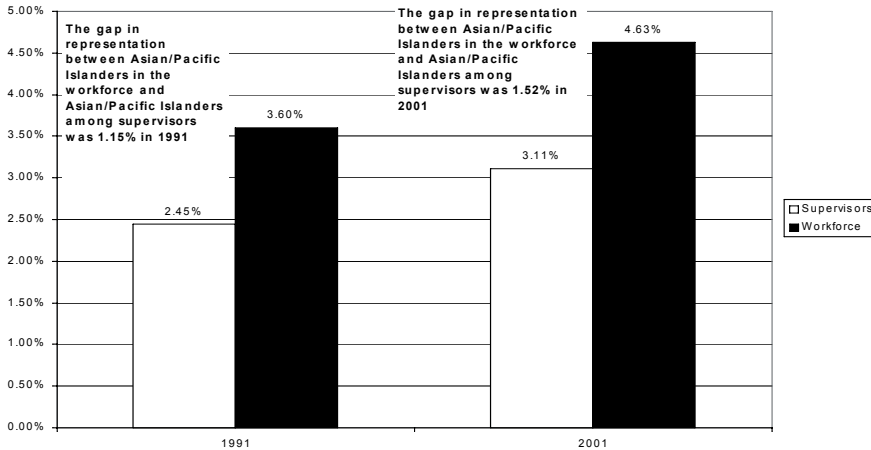
Chart 6
Higher Percentage of Managers Have Gotten Older

■ 46+
□ 18-45

	1991	1993	1995	1997	1999	2001
46+	144676	154782	140488	131762	131334	134553
18-45	128013	113715	87724	71632	64742	61001
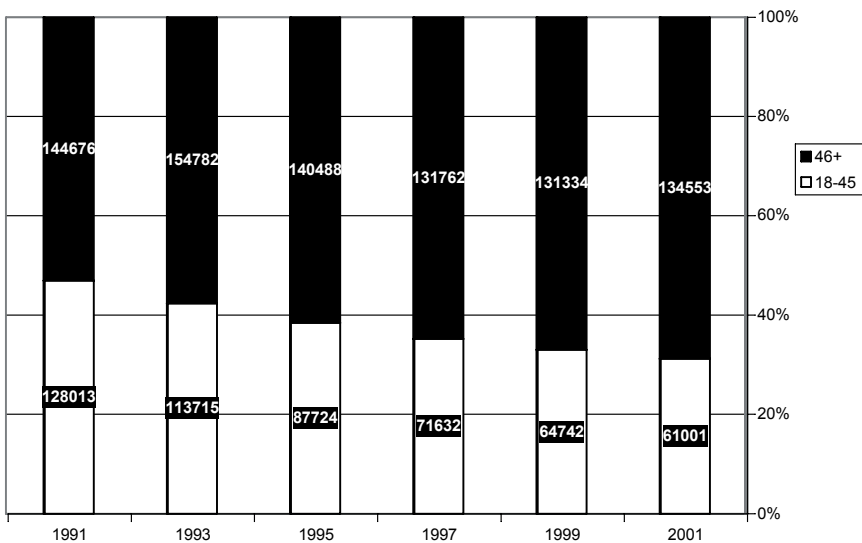
This chart depicts the increase in age of the Federal manager. In 2001, 69 percent of all managers were age 46 or older. That represents a change of 16 percent since 1991 when 53 percent of all managers were age 46 or older.

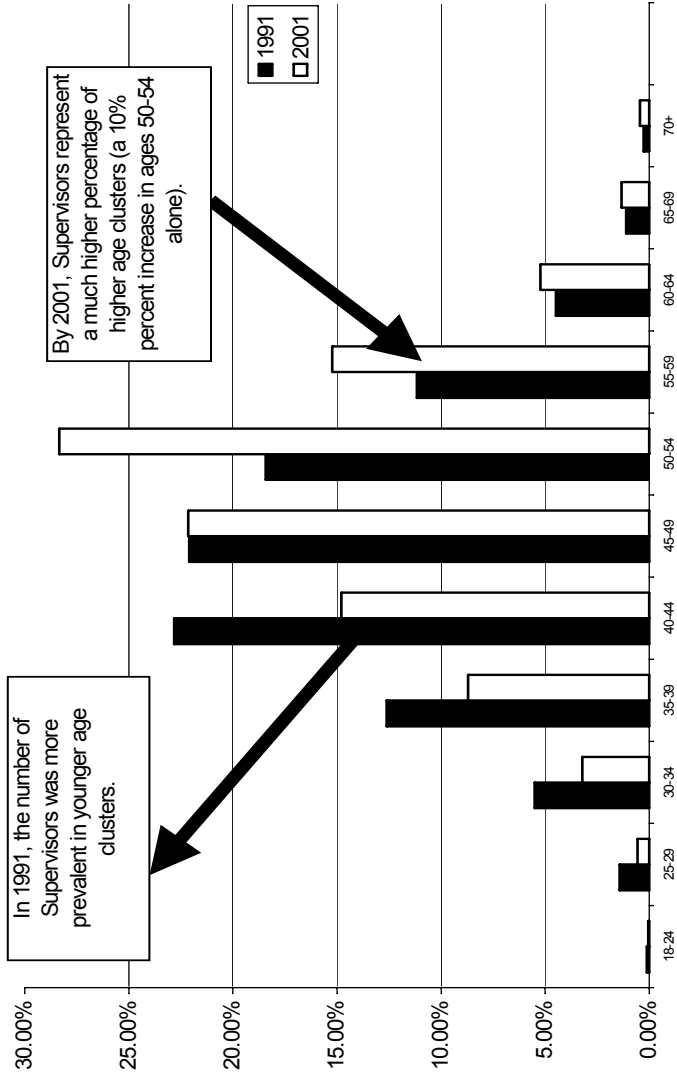**Chart 7**
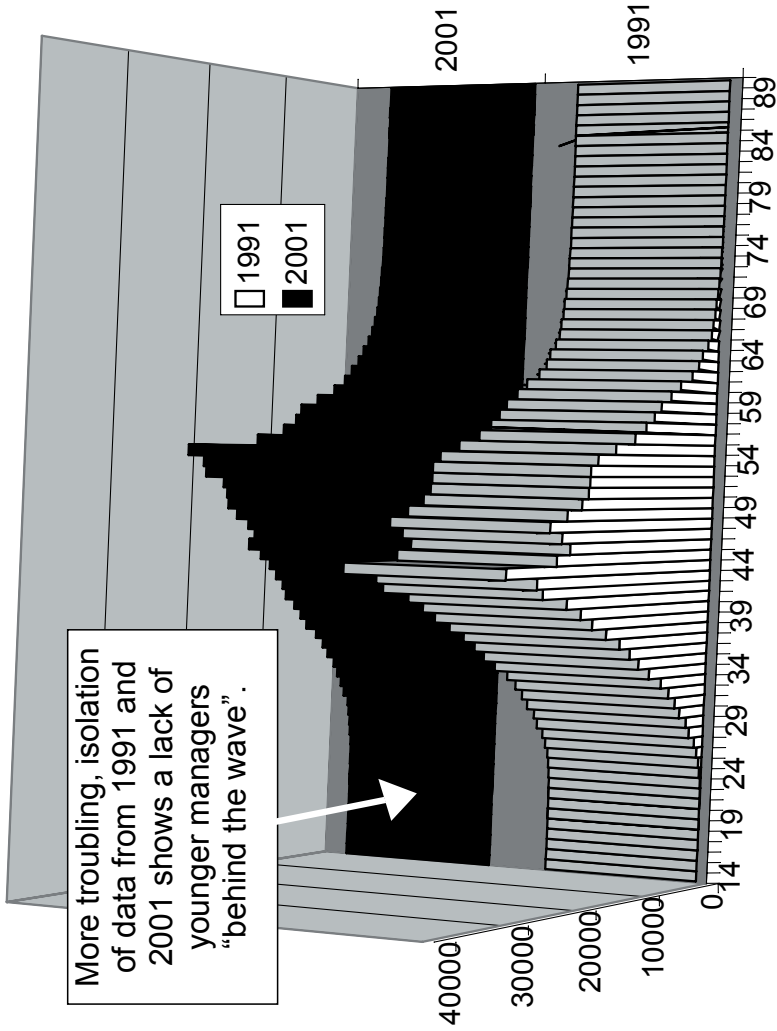**Percent of Supervisors in Each Age Cluster**

In 1991, the number of Supervisors was more prevalent in younger age clusters.

By 2001, Supervisors represent a much higher percentage of higher age clusters (a 10% percent increase in ages 50-54 alone).

■ 1991
□ 2001

Chart 8

More troubling, isolation of data from 1991 and 2001 shows a lack of younger managers "behind the wave".

2001

1991

1991
2001

0 14 19 24 29 34 39 44 49 54 59 64 69 74 79 84 89
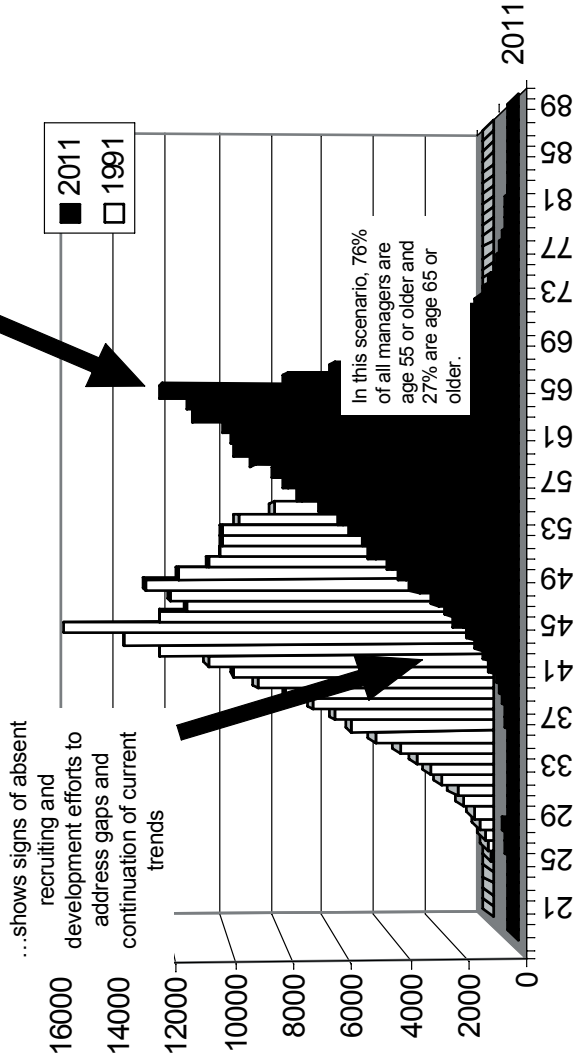
10000 20000 30000 40000

Chart 9

Though **entirely hypothetical and non-scientific**, this chart provides a "what-if" glimpse of the age composition of the Federal workforce in ten years if current trends continue. For the last ten years, the age of the Federal manager has advanced steadily. However, no "back-end," younger managers have been developed. By pushing the wave forward 10 years and applying growth at the back-end based on past trends, the resulting picture emerges.

In this scenario, adjustments were made to factor the loss of older managers due to retirement. In addition, to simulate the average retirement, managers above the age of 62 with 30 or more years of service were not taken into consideration.
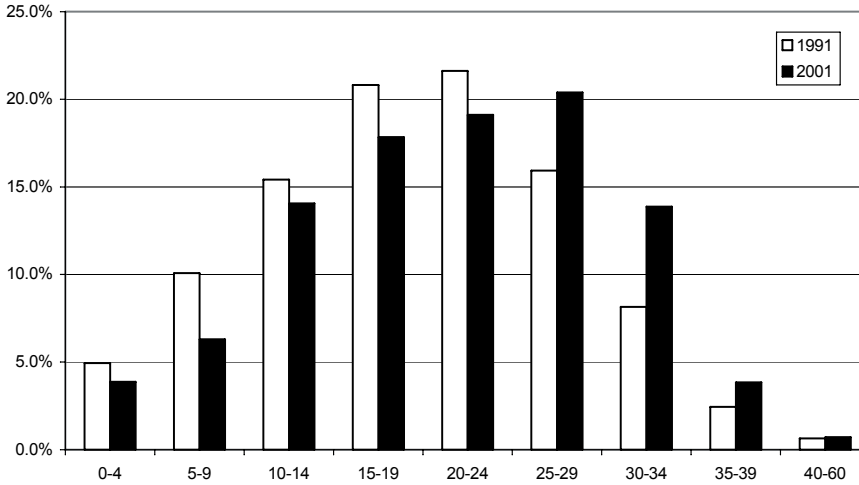
This chart shows where today's managers *could* be ten years from now....

A Glimpse of the Future??

...shows signs of absent recruiting and development efforts to address gaps and continuation of current trends

In this scenario, 76% of all managers are age 55 or older and 27% are age 65 or older.
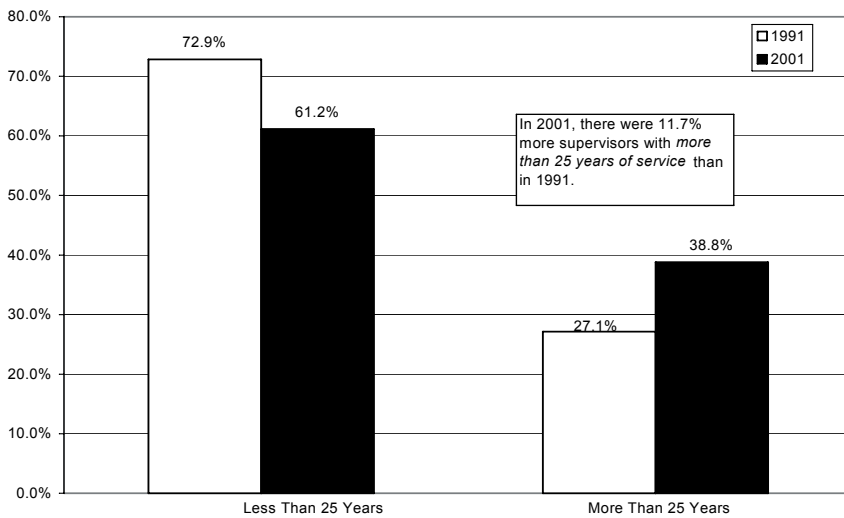
Chart 10
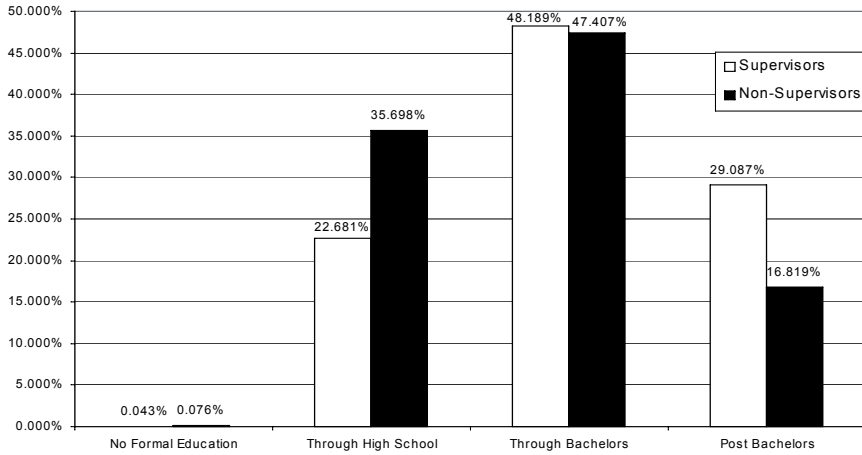**Supervisors by Length of Service**

1991 and 2001

Chart 11
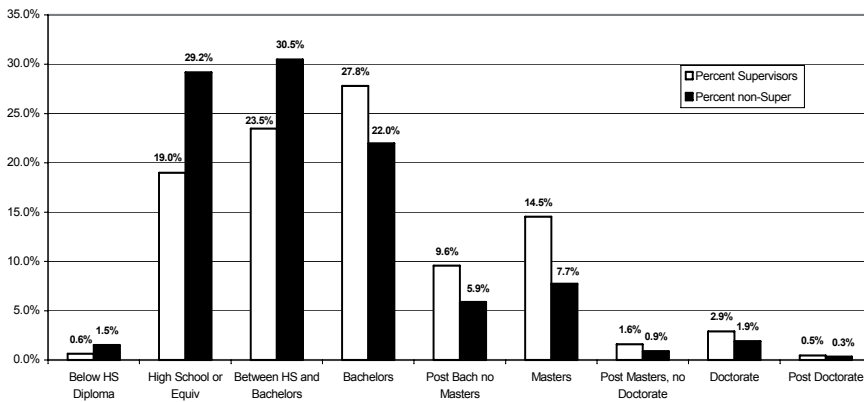**Comparison of Supervisory Length of Service**

1991 and 2001

Chart 12
Educational Achievement Levels

Chart 13
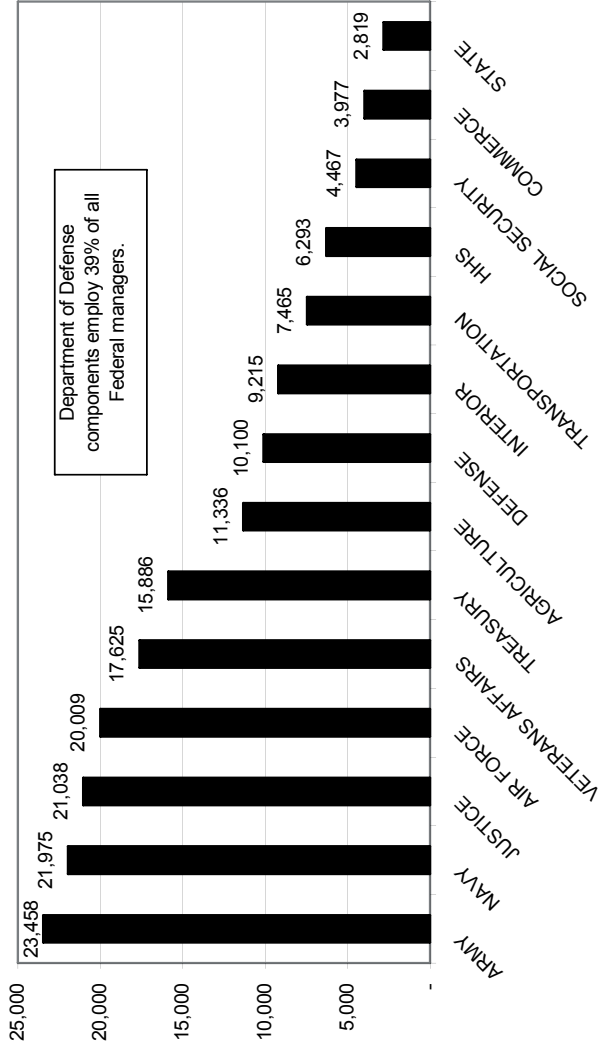**Educational Achievement of Supervisors and Non-Supervisors**

Table 3
General Overview 2001

	Total	Percentage
Total Employees	1,772,533	
Total Supervisors	195,555	11.0%
Total Employees in Washington, D.C.	279,055	
Total Supervisors in Washington, D.C.	36,409	13.0%
Total Employees in the United States	1,691,595	
Total Supervisors in the United States	185,136	10.9%
	975,134	55.0%
Male		
Female	797,368	45.0%
Male Supervisors	137,003	70.1%
Female Supervisors	58,551	29.9%
Minority	541,620	30.6%
Non-Minority	1,229,951	69.4%
Minority Supervisors	43,755	22.4%
Non-Supervisors	151,722	77.6%

Table 4
General Supervisory Overview 2001

Total Number of Supervisors	195,555
Supervisors in Washington, D.C.	36,409
Supervisors outside Washington, D.C.	159,146
Percent of Supervisors Outside Washington, D.C.	81.4%

Chart 14
Agencies with Largest Number of Supervisors

Department of Defense components employ 39% of all Federal managers.

Agency	Supervisors
ARMY	23,458
NAVY	21,975
JUSTICE	21,038
AIR FORCE	20,009
VETERANS AFFAIRS	17,625
TREASURY	15,886
AGRICULTURE	11,336
DEFENSE	10,100
INTERIOR	9,215
TRANSPORTATION	7,465
HHS	6,293
SOCIAL SECURITY	4,467
COMMERCE	3,977
STATE	2,819

About the 21st Century Federal Manager Series

Our vision is to paint a picture of the behaviors, skills, and competencies of successful 21st Century federal managers. With this information, federal agencies will be able to strengthen their leadership cadre and better serve the American people. This is the first of five reports in the National Academy for Public Administration's two-year study of federal managers.

Frank Cipolla
NAPA Project Director
21st Century Federal Manager

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About Management Concepts

Management Concepts is an integrated consulting, training, and publications organization dedicated to *the mind at work*. Since 1973, we have partnered with organizations and individuals to improve workplace performance, creating measurable results for the federal government in every key operations area. Information about our expertise, training services and products, and custom and off-the-shelf solutions is at www.managementconcepts.com. Management Concepts is dedicated to client success.

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