

subject



ROUTING AND TRANSMITTAL SLIP Date 22 MARCH 89

TO: (Name, office symbol, room number, building, Agency/Post)	Initials	Date
1. CHAIRMAN, CIA TRAINING SELECTION BOARD 1026 COFC		
2.		
3.		
4.		
5.		

Action	File	Note and Return
Approval	For Clearance	Per Conversation
As Requested	For Correction	Prepare Reply
Circulate	For Your Information	See Me
Comment	Investigate	Signature
Coordination	Justify	

REMARKS

#1 - FOR ACTION: PLEASE PROVIDE NOMINATIONS THROUGH THE APPROPRIATE CHANNELS.

SUSPENSE: ¹⁰ 3 APRIL 1989

cc: DA/STO

DO NOT use this form as a RECORD of approvals, concurrences, disposals, clearances, and similar actions

	bol, Agency/Post)	Room No.—Bldg.
	EXA/DDA	Phone No.

5041-102

☆ GPO: 1983 O - 381-529 (232)

OPTIONAL FORM 41 (Rev. 7-76)
Prescribed by GSA
FPMR (41 CFR) 101-11.206

DDA REGISTRY
FILE: *June 2*


STAT

**EXECUTIVE SECRETARIAT
ROUTING SLIP**

TO:		ACTION	INFO	DATE	INITIAL
1	DCI				
2	DDCI				
3	EXDIR				
4	D/ICS				
5	DDI				
6	DDA	X			
7	DDO				
8	DDS&T				
9	Chm/NIC				
10	GC				
11	IG				
12	Compt				
13	D/OCA				
14	D/PAO				
15	D/PERS				
16	D/Ex Staff				
17					
18					
19					
20					
21					
22					
		SUSPENSE	Date _____		

Remarks
Nominations deadline is 3 April.

ER 89-1144


 Executive Secretary
22 Mar '89
 Date

3637 (10-81)



DEPARTMENT OF DEFENSE
NATIONAL DEFENSE UNIVERSITY
WASHINGTON, D.C. 20319-6000

Executive Registry
89-1144

March 15, 1989

REPLY TO
ATTENTION OF:



President

Honorable William H. Webster
Director of Central Intelligence Agency
Washington, D.C. 20505

Dear Mr. Webster:

Each year the National Defense University extends invitations to agencies outside Department of Defense to nominate candidates to attend the courses at both the National War College and the Industrial College of the Armed Forces. This year it is a pleasure to invite you to nominate four candidates for the National War College and one candidate for the Industrial College of the Armed Forces to attend the course commencing August 14, 1989.

The U.S. Office of Personnel Management has agreed that completion of the 10-month resident course at the National War College or the Industrial College of the Armed Forces satisfies the requirement for participants in a Senior Executive Schedule (SES) Candidate Development Program to attend a current, formal, interagency executive level training program as prescribed by Federal Personnel Manual (FPM), chapter 412, subsection 3-2b(2). A copy of the Office of Personnel Management letter dated July 18, 1984 addressing this exemption is enclosed. A copy of the Department of Defense Instruction 1400.25-M establishing the criteria for selecting Department of Defense civilian students is also enclosed.

A key part of the learning process at the National Defense University is the exchange of ideas, knowledge, and experiences among the military and civilian students who represent a variety of agencies and functional activities. It is especially important that each nominee considered be a career executive who can be expected to continue in Government service and attain future positions of high responsibility.

Two critical dates: nominations must be received not later than April 3, 1989; and each nominee must have a final TOP SECRET clearance based on a current Special Background Investigation (SBI) or have initiated an SBI equivalent for access to Secret Compartmented Information (SCI) not later than May 1, 1989. A Department of Energy "Q" clearance is required for all non-DoD personnel. We also request that each nominee furnish a copy of his/her personal history.

EXCELLENCE AND UNITY IN EDUCATION AND RESEARCH

-2-

Please feel free to have your staff contact my Registrar at 475-1966 if there are any administrative questions or problems.

I am confident that the participation of your personnel in our program will be mutually beneficial.

Respectfully,

A handwritten signature in black ink, appearing to read "B. C. Hosmer". The signature is written in a cursive style with a large initial "B" and a long horizontal stroke at the end.

Bradley C. Hosmer
Lieutenant General, USAF
President

Enclosures

Office of Personnel Management

FPM Letter 412-4

Federal Personnel Manual System

FPM Letter 412-4

Published in advance
of incorporation in FPM
Chapter 412

RETAIN UNTIL SUPERSEDED

SUBJECT: Executive, Management, and Supervisory Development

FPM Letters 920-2, -3, -7, -9, -11, -12, -13, and -15
are superseded.

Washington, D. C. 20415
July 18, 1984

Heads of Departments and Independent Establishments:

1. Since the passage of the Civil Service Reform Act of 1978, many FPM letters and bulletins pertaining to executive and management development have been issued. A separate FPM chapter devoted solely to supervisory development has also been issued. To clarify and consolidate the past FPM issuances on executive and management development, as well as to reflect the natural progression from supervisory development through managerial and executive development, OPM has produced a new FPM Chapter 412 on Executive, Management, and Supervisory Development.
2. The purpose of this letter is to transmit the revised chapter and to clarify which FPM bulletins and letters regarding executive and management development are obsolete (see attachment 1). This letter also rescinds FPM Chapter 411 on Supervisory Development.
3. The new chapter emphasizes how establishing a systematic process for developing executives, managers, and supervisors is important to the goal of achieving the most effective and efficient Government possible. In developing the new chapter, provisions were included to either incorporate or address the Grace Commission's recommendations on training and development services.
4. There are technically no major policy changes, but rather a refocusing to make OPM's guidance clearer and more cohesive. There is no change to Part 412 of title 5, Code of Federal Regulations.
5. Previous FPM issuances had required SES Candidate Development Program participants to attend OPM's Executive Development Seminar unless specifically exempted. The new chapter requires participants to attend a current, formal, interagency, executive-level training experience approved by OPM. The Executive Development Seminar is only one of several programs that now may be used to satisfy this requirement. Attachment 2 contains the complete list of programs currently approved by OPM.
6. Changes in the provisions for SES Candidate Development Programs may have an effect on current program participants (principally in the areas of exemptions to the requirement for attending the Executive Development Seminar and of length of certification following completion of the program). In such instances, current

Inquiries: Office of Training and Development, Workforce Effectiveness and
Development Group (202) 254-7086

Code: 412 - Executive Development

Distribution: FPM

Attachment 1 to FPM Letter 412-4

This FPM letter supersedes several FPM letters in the 920 series (Senior Executive Service). The three previous FPM letters in the 412 series were superseded by other issuances in the past. To avoid even the slightest chance for confusion, this attachment lists all obsolete or superseded (from whatever source) FPM letters and bulletins in both the 920 and 412 series having to do solely with executive, management, and supervisory development.

<u>FPM Letter</u>	<u>Subject</u>
920-2	Monitoring Executive and Management Program Plans
920-3	Merit Staffing for SES Candidate Development Programs
920-6	Criteria for Exceptions to Attendance at OPM's Executive Development Seminar
920-7	Discontinuance of Advance Qualification Review Board Certification for the SES based on Demonstrated Executive Experience
920-9	Requirements for Qualification Review Board Review of Graduates of SES Candidate Develoement Programs
920-11	Monitoring Executive and Management Development Programs Plans -- FY 1982
920-12	Criteria for Exceptions to Completion of OPM's Executive Development Seminar
920-13	Continuing Development of Senior Executives
920-15	Management Development
412-1	Guidelines for Executive Development in the Federal Service
412-2	Executive and Management Development
412-3	Selecting Participants for Executive Development Programs
<u>FPM Bulletin</u>	<u>Subject</u>
920-41	SES Candidate Development Programs
412-1	Report of Executive and Management Development Activities
412-2	Proposed Regulations on Executive Development
412-3	Relocation of Berkeley Executive Seminar Center
412-4	Final Regulations on Executive and Management Development
412-5	Executive and Management Development

FPM CHAPTER 412

SUBCHAPTER 1. EXECUTIVE, MANAGEMENT, AND SUPERVISORY DEVELOPMENT POLICIES

1-1. Executive, Management, and Supervisory (E-M-S) Development.

Throughout the Federal government, serving the public interest requires management excellence -- managerial behavior that results in the successful implementation of agency policies and programs. Executives, managers, and supervisors constitute the management team in Federal agencies. Maintaining the quality and efficiency of Federal programs depends on the responsiveness of an agency's management team, since its members direct the agency's employees who administer those programs. Achieving and sustaining management excellence within a management team requires that an agency ensure appropriate levels of expertise among its managers through management development, which recognizes that the competencies required of successful managers are generally distinctive and may not have been acquired in the circumstances of a specialized career or technical occupation.

a. Purpose of Development. E-M-S development is a systematic process whereby executives, managers, and supervisors achieve management excellence by mastering the competencies that will allow their organizations to improve effectiveness and efficiency while responding flexibly to new demands. The development of executives, managers, and supervisors is not a remedial process but a positive strategy to increase excellence in government.

b. Management as a Profession. The vast majority of managerial positions are filled by men and women selected because of technical qualifications demonstrated in a specialized profession or career field. The nature of managerial competencies, however, establishes management as a distinct second profession for which the technical competencies of the first profession become collateral. The managerial role must be prepared for with careful deliberation and analysis. Recognition of the need for additional preparation in this "second career" is the basis for the required probationary period for newly appointed supervisors and managers in the competitive service, and the requirements to develop members of and candidates for the Senior Executive Service (SES).

1-2. Legal and Regulatory Basis.

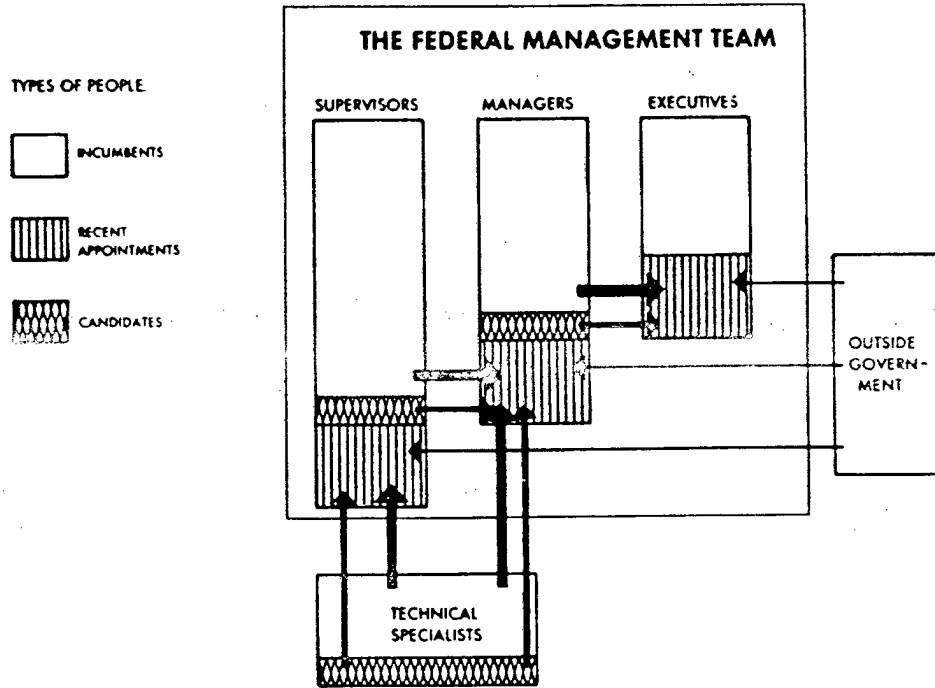
Policy and practice in the area of E-M-S development are grounded in a synthesis of three separate but complementary areas of statute and regulation concerning training, probationary periods, and management development.

a. Executive, Management, and Supervisory Training. 5 USC 4103 requires agency heads to establish training programs to increase economy and efficiency in the operation of the agency and to raise the standards of employees' performance of their official duties to the maximum possible level of proficiency. More specifically, 5 CFR §410.201 requires agencies to review short- and long-term training program needs by occupations, organizations, or other appropriate groups. An agency's management team of its executives, managers, and supervisors represents one such group or occupation for whom these standards of performance and training needs must be addressed.

E-M-S development programs can then be tailored to increase their accuracy and impact. Figure 1 depicts these management levels and types of people and shows how career progression occurs across the management levels.

Figure 1.

THE FEDERAL MANAGEMENT TEAM:
 TARGET GROUPS FOR DEVELOPMENT,
 RECRUITMENT SOURCES, AND CAREER PATHS



NOTE: Each arrow represents input to the levels on the management team; width of the arrow indicates relative frequency from each recruitment source.

1-4. Agency Roles.

Agencies must take the initiative to ensure their own management excellence. At a minimum, they should design and administer effective E-M-S development programs that conform to the specifications outlined in section 2-1, using OPM services and assistance as needed. Beyond that, however, agencies should foster management excellence by establishing an environment where it is expected, developed, recognized, and rewarded.

1-5. OPM Role.

OPM's role is to provide leadership and direction to Federal agencies as they move to ensure management excellence within their management teams. This leadership involves setting policy and offering guidance for the development of executives, managers, and supervisors, while monitoring the Federal government's progress toward achieving management excellence. OPM will fulfill this role in partnership with the agencies by making a full range of services available for use as needed (see section 2-2).

2-2. OPM Leadership Responsibilities and Services.

To carry out its obligations under statute, OPM is responsible for providing the following guidance and assistance:

- a. Designing an E-M-S development approach that permits tailoring systems and programs to specific agency and individual needs, while still ensuring that the overall E-M-S development needs of the Federal government are met.
- b. Providing technical advice and assistance to agencies on how their needs and OPM's expectations can be met.
- c. Developing and maintaining a competency-based model of effective performance for Federal executives, managers, and supervisors.
- d. Providing methods and services for the systematic assessment of E-M-S development needs for agencies, groups, and individuals.
- e. Developing and maintaining a nationwide, competency-based curriculum for Federal executives, managers, and supervisors.
- f. Conducting ongoing developmental efforts with agencies to identify and promote new management techniques and practices and to incorporate these into E-M-S development.
- g. Monitoring the performance of agency E-M-S development programs.
- h. Sharing information with agencies on the results of OPM and other agency efforts to achieve management excellence in government.
- i. Providing regulatory and FPM guidance as appropriate.

2-3. Program Monitoring and Evaluation.

The best interests of the Federal government, as well as specific provisions of statute (5 USC 3396(b)) and regulation (5 CFR 5412.105), require that OPM and the agencies work together to evaluate the benefits and costs of the E-M-S development programs in Federal agencies.

- a. Agency Requirements. Specifically, agencies are required to:
 - (1) Maintain adequate documentation of program efforts and costs to demonstrate that OPM and agency E-M-S development policies are being implemented; and
 - (2) Submit program information to OPM as requested to assist in government-wide evaluation efforts.
- b. OPM Responsibilities.
 - (1) OPM will analyze Federal E-M-S development program trends and accomplishments using available data base systems, results of periodic onsite agency reviews, and feedback from agencies received as part of E-M-S development program assistance. The results of these analyses will be shared with agencies and form the basis for OPM policy, leadership initiatives, and requirements that may be established to assure the development of management excellence in government.
 - (2) OPM will continue to work with agencies to implement the requirements of 5 CFR Part 412 on executive and management development.

c. Executives. The law is clearest on establishing agencies' obligation to provide systematic development for and within the SES. The responsibility for developing SES members is shared by the individual executives and their agency ERB's.

(1) Incumbent SES Members. (a) 5 USC 3396(a) and 5 CFR 412.103(a)(1) require agencies to establish programs for the continuing development of SES members. The most effective executive performance combines highly developed management competencies and characteristics with an up-to-date appreciation of the environment in which those skills can be applied to serve the national interest. That environment is a highly complex world of constant change. Executives must be knowledgeable about such areas as: technological developments, new legislation, innovative management practices, and current policy and program initiatives. The SES individual development plan (IDP) can serve as the primary tool for ensuring executives maintain currency in appropriate areas.

(b) Agency programs must include the preparation, implementation, and regular updating of an IDP for each SES member. The IDP requirement may be met by appending a brief listing of developmental objectives and specific proposed developmental activities to each senior executive's annual performance plan. An elaborate paperwork system is not needed. The IDP should focus on assessing personal competencies against the competencies required for optimum performance in the current or a prospective position, especially those required for implementing national policies and program initiatives. The ERB must approve each plan. OPM encourages agencies to use the IDP as a planning device to derive optimal performance from both SES members and their organizations.

(2) SES Candidates. Under 5 USC 3396(a) and 5 CFR 412.103(a)(2) and 412.107(c), agencies with positions in the SES are required to establish programs for the development of candidates for the SES. Agencies should focus primarily on individuals just below the SES, at the GS/GM-15 level. Agency ERB's provide the overall direction and management of these programs. Section 3-2 describes these programs more specifically.

3-2. SES Candidate Development Programs.

NOTE: Because of its specific statutory responsibilities concerning the implementation of SES candidate development programs in agencies, OPM took a strong role in designing the requirements for these programs. The relative volume of guidance provided for this program, compared with other programs and groups listed in section 3-1, should not be interpreted as an indication of the level of importance OPM places on any of these programs. Many organizations, using projected vacancies as a planning tool in designing and prioritizing development programs for the total management team, could determine that the development of their supervisors and managers has a higher resource priority.

a. Recruitment.

- (1) Recruitment for SES candidate development programs is the first step in a selection and development process that can result in appointment to the SES. As such, it is subject to merit staffing procedures equivalent to those used for filling SES positions.
- (2) Agencies may establish dual programs for SES candidate development, with appropriate recruitment procedures for each. One program would be for developing candidates serving in career or career-type positions. The other would be for developing candidates selected from outside the Federal government and/or from employees serving in other than career or career-type appointments within the civil service.

b. Development Requirements.

- (1) Individual Development Plan. Each participant in a SES candidate development program must have an IDP approved by the appropriate ERB. The IDP must identify the developmental experiences designed to provide competency in the executive activity areas considered in the executive qualifications review process.

DoD 1400.25-M
CPM 410.G
October 1, 1985

CRITERIA FOR SELECTION OF CIVILIAN EMPLOYEES
OF THE DEPARTMENT OF DEFENSE FOR ATTENDANCE
AT THE JOINT COLLEGES

1. Attendance at the DoD Joint College is another opportunity for the Department of Defense to assure that key civilian personnel are prepared properly to carry out responsible duties. It is important that the necessary time and attention, including the endorsement of the candidate by a high level committee, be devoted to the selection of nominees for this purpose. The following criteria will be observed in the selection process:

- a. The employee must desire to attend the college.
- b. The employee must have an appointment without time limitation and must have competitive status if employed in the competitive service.
- c. The employee selected for the ICAF or the NWC must occupy a GS-15 position or higher and have completed normally not more than 23 years of Federal Service. In a few instances, employees in GS-14 positions who have demonstrated an exceptionally high potential for advancement may be considered for selection. The employee selected for the AFSC must occupy positions in grade GS-12 or above, with normally not more than 15 years of Federal Service.
- d. The employee must have or be able to obtain a TOP SECRET clearance with a special background investigation (SBI) that will not expire during the academic year. The SBI should be completed and the clearance approved by no later than 1 August before the start of the academic year.
- e. The employee must have demonstrated a potential for higher level of responsibilities in the DoD.
- f. The employee must have arrived at a point in his or her career development where the specific educational opportunity offered by each of the colleges is appropriate and desirable. Careful consideration should be given to the employee's probable future assignments, responsibilities, retention and applicability of the College's program to his development.
- g. In order for the Department of Defense to profit from the considerable investment in attendance at one of the Joint colleges, only employees who are expected to be available for an extended period of further service in the Department of Defense upon graduation from the college should be nominated. Also, they should indicate a willingness to accept possible reassignment and relocation upon completion of the program.
- h. The employee should possess the educational background, maturity, and poise to participate on an equal level with the other military students (Army, Air Force, and Marine Corps Lieutenant Colonels and Colonels and Navy