



COMPETENCIES

Report of the Competencies Workgroup



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In sponsoring the workgroup, the Department of Civil Service and Governor's Office of Employee Relations in no way indicate endorsement of the perspectives, opinions, and recommendations presented in this report.

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A key ingredient in any workforce or succession planning effort is knowing the capabilities and qualities, or competencies, people need to be successful in their jobs. Using competencies, we can determine whether employees are prepared to move to the next level in the organization or laterally to another functional area. And if they are not prepared, competencies can help identify the training and development activities needed to prepare them.

There is a nationwide trend toward using competencies as the basis for human resource systems. A few New York State agencies are beginning to use competencies, mainly for management development. However, the area of competencies is relatively new to most agencies. The Competencies Workgroup was formed in January 2002 to provide agencies with information to help them sort out whether developing competencies would be useful and, if so, to provide some guidelines on how to proceed. While this report discusses competencies generally, the emphasis is on leadership and management competencies within a succession planning context.

- Section 1 introduces the concepts of competencies and how they are used.
- Sections 2, 3, and 4 cover the specifics of developing competency models and the resources available for developing them.
- Section 5 provides step-by-step guidelines on developing and applying competencies. It includes a chart that summarizes the steps and an outline of the steps in more detail. This section can be used independently of the rest of the report.
- Section 6 discusses how one agency is developing its competencies.
- Section 7 includes links to other resources for competencies.
- Sections 8-11 cover the references, bibliography, Workgroup membership, and acknowledgments.

REPORT CONTENTS

1. Basic Information on Competencies.....	3
• Why Competencies?.....	3
• Definition of a Competency.....	3
• Organizational Competencies.....	4
• How Competencies Are Used.....	4
2. Development of Competency Models.....	7
3. Competency Models.....	10
4. Competency Groupings.....	12
5. Strategy and Guidelines for Developing and Using Competencies....	15
6. Agency Example: NYS Office of the State Comptroller.....	22
7. Other Competency Links.....	23
8. Endnotes.....	25
9. Further Reading.....	26
10. Workgroup Members.....	27
11. Acknowledgments.....	27

Appendices

A. Job Analysis Steps.....	28
B. Leadership and Management Competencies List.....	29
C. Background of the Workgroups.....	46

Send questions and comments to workforce@goer.state.ny.us.

1. BASIC INFORMATION ON COMPETENCIES

Why Competencies?

Competencies are a critical tool in workforce and succession planning. At a minimum, they are a means to:

- Identify capabilities, attitudes, and attributes needed to meet current and future staffing needs as organizational priorities and strategies shift, and
- Focus employee development efforts to eliminate the gap between capabilities needed and those available.

With diminishing resources and increasing demands, effective development and utilization of human capital is just as critical to State agencies' successful delivery of services as state-of-the-art technology. We need the right people with the right competencies at the right time, in conjunction with the right systems and technology. Agencies want to be more systematic in training and developing employees. This will ensure that development efforts are better targeted to meeting agency needs, can be directly linked to results, and make more efficient use of scarce training resources. "Results" is the key word. In any enterprise, resources are invested to produce desired or expected results. In building competency models, we need to identify competencies that will improve results, making it worth investing in their development and use.

Definition of a Competency

How is a competency different from the knowledge, skills, and abilities (KSAs) that most people are familiar with in our merit system? Competencies encompass KSAs but also *other characteristics* or *personal characteristics*. (See the Glossary in "Our Workforce Matters.") Here's a definition:

A **competency** is a characteristic of an employee that contributes to successful job performance and the achievement of organizational results. These include knowledge, skills, and abilities plus other characteristics such as values, motivation, initiative, and self-control.

Civil service exams are primarily based on the KSAs for a particular job. Other factors or characteristics also contribute to job performance, as noted in the competency definition. In the context of the selection process, other relevant personal characteristics are usually evaluated during the employment interview and probationary period. KSAs plus *other characteristics* are referred to as KSAOs or KSAPs ("P" for personal characteristics). Generally, a competency can be a KSAO or a combination of KSAOs taken together. See a discussion on KSAOs and competencies in *Competencies and KSAOs*, by James Kierstead, from the Public Service Commission of Canada http://www.psc-cfp.gc.ca/research/personnel/comp_ksao_e.htm.

The definition and use of competencies vary from one organization to another. You will need to adopt a competency approach or framework that works for you. To achieve the best results, it is important to clearly define and describe the framework in use for all involved.

Organizational Competencies

While this report focuses on **individual** competencies, **organizations** also have competencies. They are usually the result of collective individual competencies common throughout the organization. Organizational competencies have significant impact on organizational results and are worth identifying, if not developing.

Organizational competencies can include process improvement, teamwork, performance measurement, values, project management, new ways of thinking or performing, knowledge management, etc. These are built, in part, on individuals having the competency or related competencies. For example, an organizational competency of strategic planning is dependent upon managers having the skills to do the planning. In addition, the organization needs a workable planning process, skilled people assigned to coordinate the process, organizational performance measures, and systems for reporting performance data and tracking progress in meeting goals and objectives. All of these components could comprise the organizational competency of strategic planning. (1)

How Competencies Are Used

New York State government uses competencies in the following ways:

- Examinations. Under our State Constitution, laws, federal Uniform Guidelines for Employee Selection (<http://www.uniformguidelines.com/>) and other mandates and standards, examinations must be job-related. Job-relatedness is achieved by conducting job analyses to determine the critical KSAOs needed to perform the duties of the position.

An examination includes a number of components or tests: the minimum qualifications; the main testing devices and types, such as written, performance and oral tests and training and experience evaluations; employment interview; and performance during probation.

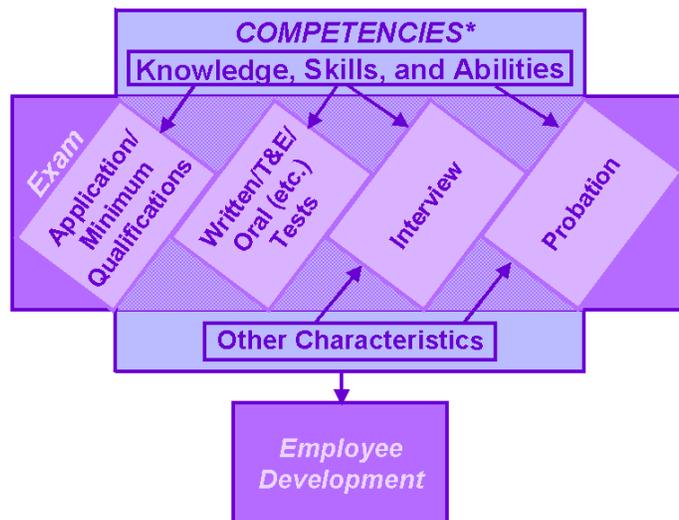
- Employee training, education, and development. Competencies are used in determining and developing the training, education, and other development opportunities offered to employees.

Employee training and development is the primary reason why most agencies invest in competencies apart from the exam process. Competencies can be used for broad-based training and development, focusing on competencies that will be useful in a wide range of jobs. They can also be used in a more focused way, within succession

planning, to prepare eligible employees for a job anticipated becoming vacant within a certain period of time.

Because of the competitive nature of the civil service examination process and the legal requirements for civil service examinations, the opportunity for training and development in KSAOs that may be tested in competitive examinations needs to be made reasonably available to everyone in the promotion field. Likewise, for the same reasons, while agencies are encouraged to help employees develop competencies they will need to perform the duties of target positions, they should not provide training for employees to take specific civil service examinations.

Although it appears that we could use the same competencies for employee development and civil service examinations, this is not necessarily the case. As noted above, examinations must meet legal and professional standards of job relatedness, which means that knowledge, skills, abilities and other characteristics are identified and used within this framework. The difference in purpose may dictate differences in format and content. Certainly, there needs to be consistency between exam KSAOs and training and development competencies. Competencies developed for one purpose may provide useful information for other purposes.



*Competencies for exams and employee development may be somewhat different.

In some human resource systems, competencies are used for many or most of the components of the system, including employee selection, evaluation, training and development and even job design and compensation. The various HR subsystems are linked together by competencies. The Minnesota Department of Transportation began implementing a competency-based system in 1994.

Competencies are **not** relevant to *classifying jobs* in our personnel system. New York State has a position classification system in which a job is classified according to the assigned duties and responsibilities, not the competencies possessed by the incumbent. Though job classification is not based on competencies, it is logical and appropriate to assign employees to positions within a title based on their competencies. A job class/title accommodates some variation in duties and responsibilities, as reflected in different positions within the class.

Employee evaluations in New York State government are based on tasks and expectations as specified in collective bargaining agreements, which cover most

employees. Evaluations provide the opportunity for supervisors and employees to identify employee training and development needs that, if met, could improve performance. Competencies used in conjunction with the evaluation process can be a useful tool in identifying training and development needs.

For more information on using competencies for employee development, see Section 5: Strategy and Guidelines for Developing and Using Competencies, page 15.

2. DEVELOPMENT OF COMPETENCY MODELS

A **competency model** is a list of competencies, often organized into five or more groupings or clusters, attributable to satisfactory or exceptional employee performance for an occupation (e.g. managers, auditors, etc.) or group of titles. Some agencies refer to these as core competencies. The model can be used to identify the competencies employees need to develop to improve performance in their current job (title) or to prepare for other jobs via promotion or transfer. Employees' competencies would be compared to the appropriate model to determine where the gaps exist. Individual training and development plans (IDPs) could then be developed to bridge the gaps.

The development of a competency model involves researching the competencies possessed by successful and/or exceptional incumbents, that lead to achieving performance objectives. The most common approach being used by New York State agencies is to:

- Develop a list of potential competencies from a menu of competencies drawn from private and/or public sources; and
- Through focus groups, surveys, or interviews, determine which apply.

The variables to consider in developing a competency model include:

- The extent to which you build competencies from scratch or draw from existing models.
- Methods to use (e.g., focus groups, surveys, or interviews) to identify competencies, weigh their importance, and verify the model.
- Whether to engage a consultant or do it on your own.

The identification of competencies (a.k.a. KSAOs) for the purpose of developing examinations has traditionally been called “job analysis.” There are a variety of job analysis techniques that may be used to identify relevant competencies for selection purposes. See Appendix A, Job Analysis Steps, for an example of an approach that may be used for traditional job analysis. You could use some of the same elements for competency modeling for other purposes:

- Identify the purpose of the competency model you are developing.
- Involve subject matter experts, perhaps supervisors of the titles/level you are working with who have extensive experience with the title/level.
- Consider using focus groups or interviews with satisfactory and exceptional employees in the target titles to generate or confirm information.

- Consider using a survey of incumbents to determine the applicability and importance of the competencies.

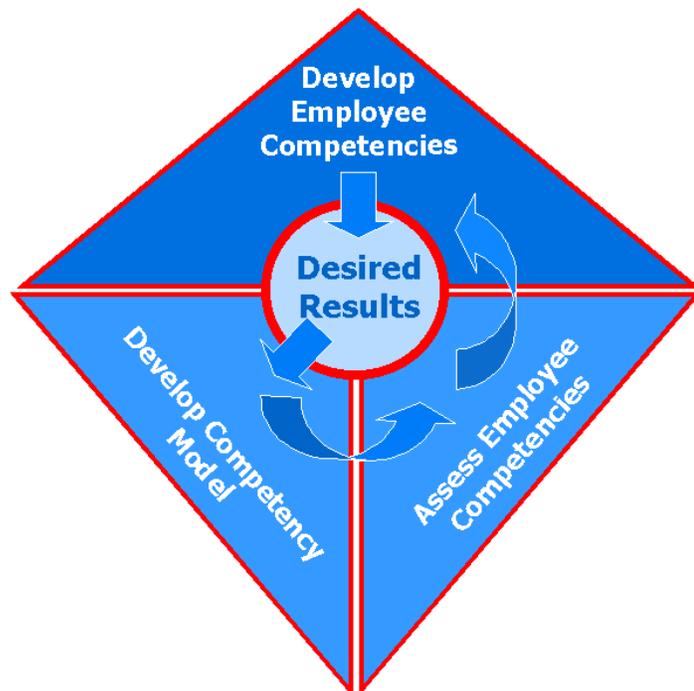
Another technique to consider is the behavioral event interview (or critical incident technique, <http://www.emmus.org/html/frames/guidelines/EmmusWP3/methods/cit.html>) which is an intensive face-to-face interview that involves soliciting critical incidents from performers and documenting what the performers were thinking, feeling, and doing during the incident. A critical incident is a characteristic and challenging event that embodies the most important aspects of the job. (2)

You could also develop behavioral statements to reflect each competency at two or more levels, such as supervisors, mid-level managers, and upper-level managers. Some competencies that apply at one level may not at another.

For more information on available methods for developing competency models, see Chapter 3 of David Dubois's book *Competency-Based Performance Improvement*. Also see how the State of Michigan developed their competencies for managers and supervisors. (<http://www.state.mi.us/mdcs/OPE/group3report.htm>)

A competency-based system is no better than its best component. Following are the competency-based system components:

- Identification/assessment of desired results: You need to know what organizational performance you are trying to achieve in order to identify the "desired state" competencies. Organizational performance assessment will also provide data to help evaluate the success of your development efforts.
- Competency models: You need to identify the competencies that truly have an impact on results.
- Employee competency assessment: You need to know the competencies of employees in order to compare them with the desired state (competency model).



- Employee development strategies and resources: You need to have the training and development programs and resources that can address the gap in competencies.

All four components require attention to achieve positive results, ensure efficient utilization of resources, and yield a high return on investment. If the information on results is faulty or insufficient, the wrong competencies may be in the model.

If the model is poorly constructed, the competencies may not accurately link to desired results. You may waste resources developing employees' competencies that are not needed. This could also happen if the method of assessing employees' competencies is inaccurate.

Finally, if staff development is not made a priority with sufficient resources committed to it, the development objectives may not be achieved. Employee and supervisor expectations would not be met and the effort would have a negative impact.

The key to avoiding these problems is to plan for all four components and scale the effort appropriately.

See Section 5: Strategy and Guidelines for Developing and Using Competencies, page 15.

3. COMPETENCY MODELS

The Workgroup has developed a competencies list (see Appendix B) that you can use to build a leadership/management competency model. We drew on a wide variety of existing models. You can choose among the competencies and edit the behavioral descriptions to meet your needs. We have chosen to use behavioral descriptions to define the competencies. Behavioral statements provide a more specific standard for determining whether the competency is present. There are drawbacks to this approach, however. For example, it is not possible to be comprehensive in terms of the behaviors that might demonstrate the competency. (3)

We have also provided sample competency group headings in Section 4 that you might find useful. In some cases, you may find that an individual competency on our listing would be more appropriate as a competency group heading. Also see links to other sites for competency models from other states, the federal government, Canada, and Australia.

See the following sites for competencies and competency models:

Competencies List in Appendix B of this report, page 29.

NYS Department of Civil Service

<http://www.cs.state.ny.us/announ/mainpages/Prom%20Test%20Bat%20Guide/promtestbatguidesection1.htm#formidlevelhighlevelmanagers>

Competencies tested on the Promotion Test Batteries for Mid-Level and High-Level Managers and Administrators.

NYS Office of Children and Family Services

<http://www.goer.state.ny.us/workforce/agyinitiatives/ocfscompetencieschart.html>

Management competencies.

State of Kansas

<http://da.state.ks.us/ps/documents/comp/Definition%20and%20Descriptor%20Guide.pdf>

State of Kansas Competency Model: Definitions and Examples of Behavioral Competencies.

State of Michigan

<http://www.state.mi.us/mdcs/OPE/group4comp.htm>

[Group Four and SES Leadership Competencies Definitions & Key Actions - competencies for higher level managers and leaders.](#)

[Http://www.state.mi.us/mdcs/OPE/group3mgrcomp.htm](http://www.state.mi.us/mdcs/OPE/group3mgrcomp.htm)

Group Three Manager Competencies Definitions & Key Actions - competencies for middle managers.

[Http://www.state.mi.us/mdcs/OPE/group3supcomp.htm](http://www.state.mi.us/mdcs/OPE/group3supcomp.htm)

Group Three Supervisor Competencies Definitions & Key Actions.

State of Washington

[Http://hr.dop.wa.gov/workforceplanning/compprof.htm](http://hr.dop.wa.gov/workforceplanning/compprof.htm)

Competency Profile Suggestions. This includes links to competency profiles for mid-level managers and others.

[Http://hr.dop.wa.gov/workforceplanning/mgmtcomp.htm](http://hr.dop.wa.gov/workforceplanning/mgmtcomp.htm)

Core competencies for mid-level managers.

US Office of Personnel Management

[Http://www.opm.gov/ses/define.html](http://www.opm.gov/ses/define.html)

Competencies for the Senior Executive Service.

Public Service Commission of Canada

[Http://www.psc-cfp.gc.ca/cap/03/mgnarr_e.htm#III](http://www.psc-cfp.gc.ca/cap/03/mgnarr_e.htm#III)

The site has five categories of management competencies with a total of 14 competencies with definitions.

[Http://www.managers-](http://www.managers-questionnaires.gc.ca/career_development/competency_profiles/menu_e.shtml)

[questionnaires.gc.ca/career_development/competency_profiles/menu_e.shtml](http://www.managers-questionnaires.gc.ca/career_development/competency_profiles/menu_e.shtml)

This includes middle management competencies listed in interactive learning, narrative and summary formats.

Northern Territory Government of Australia

Office of the Commissioner for Public Employment. Updated Executive Officer Competencies.

[Http://www.nt.gov.au/ocpe/documents/publications/hr-info-series/infoseries13.htm](http://www.nt.gov.au/ocpe/documents/publications/hr-info-series/infoseries13.htm)

Competing Values Framework

This framework is used in GOER's "Challenges in Supervision and Management" training courses.

[Http://www.goer.state.ny.us/Train/currprogrsvc/infochallandpsfstrnrs.html](http://www.goer.state.ny.us/Train/currprogrsvc/infochallandpsfstrnrs.html) Also see

Becoming a Master Manager: A Competency Framework by Robert E. Quinn et.al.

Workforce: HR Trends & Tools for Business Results, an online publication.

[Http://www.workforce.com/archive/article/23/11/74.php](http://www.workforce.com/archive/article/23/11/74.php)

31 Core Competencies Explained: Major competencies for which employers look, along with some of the behaviors associated with each.

4. COMPETENCY GROUPINGS

Organizations use a variety of ways to group their management and leadership competencies. The groupings should reflect the focus, management culture, and priorities of your organization. Here are some groupings for your consideration and links to the full listings so that you can see what competencies are grouped under each heading:

NYS Office of Children and Family Services

[Http://www.goer.state.ny.us/workforce/agyinitiatives/ocfscompetencieschart.html](http://www.goer.state.ny.us/workforce/agyinitiatives/ocfscompetencieschart.html)

- Leading the Organization
- Making Decisions
- Interacting With People
- Personal Effectiveness
- Communicating
- Management
- Business Acumen

State of Michigan

Leadership, Managerial and Supervisory Competencies

[Http://www.state.mi.us/mdcs/OPE/group3report.htm](http://www.state.mi.us/mdcs/OPE/group3report.htm)

- Personal effectiveness
- Communication
- Results Oriented
- Workforce Development
- Business Process Development
- Job Knowledge

State of Washington

Core Competencies for Mid-Level Managers

[Http://hr.dop.wa.gov/workforceplanning/mgmtcomp.htm](http://hr.dop.wa.gov/workforceplanning/mgmtcomp.htm)

These are not actually the groupings but the competencies themselves which are fairly broad. These could become groupings depending on how detailed your competencies are written.

- Communication
- Decision making
- Interpersonal Skills
- Leadership
- Strategic Planning
- Human Resource Management
- Program/Project Management
- Fiscal Management
- Technology Competence
- Interaction With the External Environment
- Innovation and Change Management
- Learning and Achievement Orientation

US Office of Personnel Management

Senior Executive Service--Appendix A of The Guide to Senior Executive Service Qualifications

[Http://www.opm.gov/ses/define.html](http://www.opm.gov/ses/define.html)

- Leading Change
- Leading People
- Results Driven
- Business Acumen
- Building Coalitions/Communications

Public Service Commission of Canada

Manager Leadership Competencies

[Http://www.psc-cfp.gc.ca/cap/03/mgnarr_e.htm#l](http://www.psc-cfp.gc.ca/cap/03/mgnarr_e.htm#l)

- Intellectual Competencies
- Future Building Competencies
- Management Competencies
- Relationship Competencies
- Personal Competencies

Northern Territory Government of Australia

Office of the Commissioner for Public Employment. Updated Executive Officer Competencies. These are listed as core competencies but could also be considered at a high enough level to be group headings.

[Http://www.nt.gov.au/ocpe/documents/publications/hr-info-series/infoseries13.htm](http://www.nt.gov.au/ocpe/documents/publications/hr-info-series/infoseries13.htm)

- Knowledge of Organizational Context
- Strategic Thinking and Planning
- Interpersonal Effectiveness
- People Development
- Management of Resources
- Management of Change
- Communication
- Leadership/Self Management

Competing Values Framework

This framework is used in GOER's "Challenges in Supervision and Management" training courses.

<http://www.goer.state.ny.us/Train/currprogsvc/infochallandpsfstrnrs.html> Also see *Becoming a Master Manager: A Competency Framework* by Robert E. Quinn, et.al.

- The Director Role
- The Producer Role
- The Coordinator Role
- The Monitor Role
- The Mentor Role
- The Facilitator Role
- The Innovator Role
- The Broker Role

Workforce: HR Trends and Tools for Business Results

31 Core Competencies

[Http://www.workforce.com/](http://www.workforce.com/)

- Competencies Dealing With People: Leading Others
- Competencies Dealing With Service Delivery: Preventing and Solving Problems
- Self-Management Competencies

5. STRATEGY AND GUIDELINES FOR DEVELOPING AND USING COMPETENCIES

This section consists of a Strategy and Guidelines Chart and narrative. It includes information on the steps to take in developing and using competency models.

STRATEGY AND GUIDELINES CHART

I. Identify the positions you are establishing competencies for	
1.	Identify your objectives, including the positions, titles, title series, occupation, etc. to target.
2.	Determine the resources available.
3.	Develop a project work plan.
	
II. Develop the competency model	
1.	Decide whether to adopt or modify existing material, or develop your own.
2.	Evaluate the impact of organization direction and organization-level competencies.
3.	Determine whether competencies will be for current and/or future responsibilities.
4.	Obtain examples of competency models and KSAOs.
5.	Identify the desired outputs and outcomes associated with the competencies.
6.	Select competencies for the model via committee, interviews, focus groups, survey, etc.
7.	Determine the relative importance of the competencies.
8.	Consider whether to define different levels of performance within each competency.
	
III. Assess individual competencies and identify gaps	
1.	Determine employees' competencies.
2.	Conduct the gap analysis involving the employee and supervisor.
	
IV. Develop strategies to address the gaps	
1.	Identify and prioritize the development needs.
2.	Create an Individual Development Plan (IDP).
3.	Identify resources to address the needs.
4.	Keep a centralized record of employee competencies.
	
V. Reassess competencies & evaluate return on investment (ROI)	
1.	Reassess competencies on an annual basis, possibly using an ROI assessment.
2.	Collect a wide range of data on the results.

STRATEGY AND GUIDELINES NARRATIVE

This section provides you with a strategy and some practical tips helpful in selecting and developing a competency-based approach to staff development. William J. Rothwell, an authority on succession planning, connects strategy for a competency-based system to the effectiveness of succession planning and workforce development:

"To be effective, succession planning and management should be based on reliable information about the organization's requirements and about individual performance and potential...Only by approaching these activities systematically can the organization ensure planned succession."

(4)

Resources

I. Use the resources available for Succession Planning. Some are available from GOER/Civil Service and some are in your agency.

1. Civil Service/GOER's publication - "Our Workforce Matters" (<http://www.goer.state.ny.us/workforce/planning/index.html>).
2. Your agency's strategic plan, if it is active.
3. Your agency's workforce plan submitted to Civil Service.
 - Points out single occupant titles.
 - Has analysis for retirements and vulnerability.
4. Your agency's Human Resource office may have other staffing analyses as well as their workforce plan that could prove useful for your project.

II. Use the resources provided in our listing of links for competency models (see Section 3) and systems.

These links connect you to other state and federal agencies that have implemented competency systems. See also the books and publications on competencies (Section 9, page 26) by various experts. You may also want to consider hiring consultants. This can save you time and staff resources, but can be quite expensive.

Strategy And Steps

Each step in this strategy includes helpful tips to guide you. We hope these will save you time and effort in establishing a competency-based approach to staff development.

I. Identify the positions you are establishing competencies for

This step is about determining the scope of your effort. When you roll out a competency-based program, you need to clearly communicate the objectives and terminology to engage staff and reduce potential resistance and stress among employees. Competencies are not about being "competent" or "incompetent." They are about assuring that staff possess the right competencies and about effective allocation of resources.

1. Identify the objectives of your effort in light of your organization's workforce and succession plans and strategic plan. What positions in your organization do you plan on establishing competencies for and how will the competency model(s) be used? While you may decide to do your entire organization, you should start with your key positions, titles, title series, or occupations and develop a schedule to add the others. Some factors to consider in selecting target titles or positions is whether they are:
 - Critical to the Mission of the organization.
 - Prone to rapid turnover, and need jobs filled to maintain operations.
 2. Identify the resources available for competency development and use. Be sure that the investment in competencies is consistent with the resources available for employee development.
 3. Develop a project work plan.
-

II. **Develop the competency model**

This step is about developing the competency model. The model consists of the competencies needed to perform the responsibilities of the target title, occupation, etc.

1. Decide whether you want to adopt an existing competency model, modify an existing model, or develop one from scratch.
2. Analyze organization level documents like strategic plans from the perspective of how they might impact the competency model. For example, you need to be sure the model reflects important organizational competencies. The model should also address changes in functions and duties that will occur as the strategic plan is implemented.
3. Include competencies for current and future responsibilities. You can include a future focus by asking your managers and leaders in program areas if they anticipate changes in the way they do business in a year or two. For example, you may make a change in the method of service production or delivery like the recent automation at the checkout counters at stores where customers scan the items and cash out and an employee monitors several checkout lines. The key question is whether the potential changes will require different competencies.
4. Obtain competency models, lists of KSAOs, and other materials to use in developing your model:
 - Existing models used by other organizations. (See Section 3, page 10.)
 - Exam or position description KSAOs or competencies, including the Civil Service Battery selection device.
 - Organization level documents, like the strategic plan, that communicate organizational competencies needing to be translated into individual competencies.

- Staff performance programs.
 - Materials and assistance for sale from vendors.
5. Identify the outputs and outcomes that result from applying the model. What are the results that incumbents are expected to produce? For example, if an employee is expected to negotiate a contract, identify the characteristics of a successful contract and productive working relationship with the contractor. This can be done in the process of selecting the competencies in Step 6 or by drawing on performance measurement data and information. The objective is to identify the competencies that will lead to the desired results.
 6. Select competencies for the model by using the best research method available, given time and other resources available and the objectives of your effort. Options include a committee of experts, interviews, focus groups, or surveys. Consider:
 - Involving current incumbents, supervisors of the positions, direct reports, managers over the function, partners and/or customers. Including all would be a 360 degree approach.
 - Focusing on competencies exhibited by the best performers, using the behavioral incident interviewing approach.
 7. Determine the relative importance of the competencies in terms of achieving desired results and decide whether to include all relevant competencies in the model or only the ones that most correlate with results.
 8. Consider whether to define different levels of performance within each competency. You may want to determine desired target levels for each competency for each job. For example, you may decide that upper management should have a higher level of the "visionary" competency than mid-level managers. Therefore, you might identify four levels of attainment, assigning level four to upper management and three to mid-level managers. Then you would develop a series of behaviors or factors to establish the standards for each level.
-

III. Assess employee competencies (gap analysis)

Once the competency models have been identified, you need to determine the extent to which you have staff available who possess the needed competencies. You are building the supply pool of staff to replace those leaving key positions. This is done by performing an analysis of the gap between the employees' current competencies and the competency model for the target title, title series, or occupation. The gap analysis provides the data you will use to identify training and development resources needed, and make critical resource decisions.

1. Determine the employees' current competencies relative to the competency model. See Washington State's material on their website (<http://hr.dop.wa.gov/workforceplanning/compasst.htm>).

- Consider developing a survey to determine the employees' competency levels. This could be completed by the employee plus others, using a 360 approach or something somewhat narrower. The questions could consist of a rating of the level of performance/possession of each of the competencies in the model for the target occupation or title. Many vendors have developed survey tools to assist with this process, which can save you from having to do it all yourself.
 - Consider drawing on data from the performance evaluation process if it is an effective process.
2. Conduct the gap analysis. The employee and supervisor should collaborate to perform the competency/gap analysis at least annually. The "gaps" would be the competencies with the lowest scores if you were using the survey approach. For example, "visioning" could be a competency needed for upper level managers. If the employee has difficulty seeing beyond current operations and, therefore, has difficulty visioning, this is a gap between the employee's competencies and the model.

IV. Develop strategies to address the gaps

At this step, use the results of the gap analysis to create a strategy to address the development needs identified.

1. Identify the needs by individuals as well as by groups needing the same or similar development. This will help you sort out general needs versus less common but important ones, as well as providing information to help you prioritize the needs.
2. Develop Individual Development Plans (IDPs) for employees who want to participate.
 - The IDP will usually be a multi-year plan. A complete IDP will usually be impossible to address in one year. However, you should determine some priority order on the competencies that are most important to address first, balancing that with available resources.
 - The employee and supervisor should collaborate at least annually to develop/revise the IDP.
 - The IDP would include strategies to develop the weak or missing competencies from the assessment. The employee and supervisor may identify other development opportunities to address as well.
 - Training and development activities could include challenging new assignments, working on special projects, job rotation, being mentored, classroom training, e-learning, book and journal reading, participation in professional organizations, etc.
3. For each employee or group of employees, identify the resources for addressing development needs.

- These may be internal or external, and range in price. Keep in mind there is a price for the use of internal staff, which is staff time taken from other responsibilities. Include this in your comparison to the costs of external sources before making your decisions.
 - Don't limit yourself to in-house resources. Consider partnering with other parts of your agency or other agencies, which may benefit both organizations.
 - Don't undervalue non-classroom methods like on-the-job training or mentoring. These development resources often hit home more clearly on the application of learning and provide the opportunity for dialogue with the more experienced staff.
4. Keep a centralized record of employee competencies. A database that contains competency profiles for each employee can help you address development needs and manage the resources much more efficiently.
- Do your homework. Shop around and talk to the users of products.
 - Be sure a system is designed for competencies rather than training histories.
 - Identify IT (information technology) support needed for either creating or modifying a system plus maintaining it. All systems need in-house maintenance to some degree, no matter what vendors may tell you.
 - Look for opportunities to partner with other units in your organization for IT support.
 - Keep the system as simple as possible to provide the outputs you desire. While others may need systems that provide on-line registration and status reports, a simple spreadsheet may work for you.

V. Reassess competencies and evaluate return on investment (ROI)

This step involves reassessing staff competencies and performance to confirm improvement. Analyzing this information helps determine if the resources were effectively allocated.

1. To maximize the benefit of resources allocated to staff development, consider implementing some level of annual Return On Investment (ROI) analysis. The following includes Kirkpatrick's four analysis levels plus Phillips' ROI:
 - Level 1: Were participants satisfied with their training?
 - Level 2: Did learning occur and were new competencies developed?
 - Level 3: Did participants exhibit new behaviors?
 - Level 4: Did participants create beneficial results from their behavior?
 - Level 5: Did participants create a monetary return on the investment?
- $ROI = \text{Gain (program benefit) minus the program cost divided by the cost, times 100 [ROI} = (G - C) / C \times 100]$.

-- Example:

\$221,850 Gain (Agency cost savings, increased productivity and/or increased revenue)

Minus \$61,886 Cost (For trainer, supplies, facilities, participant salaries for time expended, etc.)

= \$159,964 Net Gain

Divided by \$61,886

= 2.58

Times 100 (to make it percent)

= 258% ROI (5)

Utilize agency training and development staff and GOER as a resource, as well as consultants on contract through GOER.

2. Collect a wide range of data to determine how well the competency program is working. Ways to collect evaluation information include periodic discussions with managers, assessing impact on performance measures, conducting an environmental scan, and implementing levels 1-5 ROI tools. These can be used to assess the effectiveness and efficiency of the overall development effort as well as each training resource.

6. AGENCY EXAMPLE: NYS OFFICE OF THE STATE COMPTROLLER

The Office of the State Comptroller (OSC) is implementing a competency-based performance management process designed to ensure continued effective organizational performance. The new process will aid in workforce planning and development by making provision for the development and replacement of key people over time. The competency-based performance management process is an employee development strategy with three separate components.

1. Identification of the competencies that are needed to effectively perform in different roles at various levels of the Agency.
2. Assessment of employee competencies against predefined OSC standards to determine the level of competency employees currently possess and identify strengths and development opportunities. This is a collaborative effort that takes place in a conversation between employee and supervisor.
3. Identification of available training or on-the-job assignments that may be used to improve targeted competencies. Classroom training typically focuses on acquiring knowledge and skills. This process complements the Performance Achievement System (PAS), for which employees have been asked to identify job-related performance goals, job assignments, mentoring, and other on-the-job activities, which may be a part of the recommended training. OSC recognizes that taking a course in a particular subject does not mean that one has achieved the desired level of proficiency in a particular area; competencies must be demonstrated.

For more information, see OSC Competency-Based Performance Management on the NYS Workforce and Succession Planning website.

(<http://www.goer.state.ny.us/workforce/agyinitiatives/osccompprog.html>)

7. OTHER COMPETENCIES LINKS

State of Kansas

<http://www.da.state.ks.us/ps/subject/comp/>

This website is for the State of Kansas Competency Model Project, providing a succinct overview of the Kansas competencies project.

State of Michigan

<http://www.state.mi.us/mdcs/OPE/ldrreport.htm>

Leadership Development Final Report May 20, 1999. This includes an overall discussion of leadership development and leadership competencies.

<http://www.state.mi.us/mdcs/OPE/group3report.htm>

Group Three Competencies Final Report March 6, 2001. This provides detailed information about their project and process. Of particular interest are the rating scales they used to rate competencies that contribute to success on the job and the process used to rank importance of the competencies. These scales would be useful models for those wanting to use focus groups or to design surveys.

Minnesota

<http://www.doer.state.mn.us/staffing/stf%2Dt%2Dbx/rskl%2Dinf.htm>

Reskilling Information for Human Resource Professionals and Executive Managers. This article includes a discussion of what competencies are.

Washington State

http://hr.dop.wa.gov/workforceplanning/wfpguide.htm#Assessing_Competerencies

This is a discussion of how to assess employee competencies, from the State of Washington Workforce Planning Guide.

Public Service Commission of Canada (comparable to US Office of Personnel Management)

http://www.psc-cfp.gc.ca/publications/monogra/comp_e.htm

This provides information on a PSC survey of organizations in Canada to obtain information on developing competencies. The site has summary results of the survey and different practices used by organizations that developed their own competencies.

http://www.psc-cfp.gc.ca/research/personnel/comp_history_e.htm

This is a human resources/competencies timeline starting with the Romans and leading up to today.

http://www.psc-cfp.gc.ca/research/personnel/comp_ksao_e.htm

This is a discussion of the difference between competencies and KSAOs.

Northern Territory Government of Australia

<http://www.nt.gov.au/ocpe/documents/publications/hr-info-series/infoseries12.htm>

Competency Based Assessment and Training

<http://www.nt.gov.au/ocpe/documents/publications/hr-info-series/infoseries08.htm>

National Public Administration Competency Standards

National Skills Standards Board (NSSB)

[Http://www.nssb.org/](http://www.nssb.org/)

The National Skills Standards Board (NSSB) is a coalition of leaders from business, labor, employee, education, community, and civil rights organizations, created in 1994 to build a voluntary national system of skill standards, assessment, and certification systems to enhance the ability of the United States workforce to compete effectively in a global economy. Though it does not provide management competencies, it focuses on knowledge skills and abilities needed in a broad range of employment areas categorized by manufacturing and service industries.

8. ENDNOTES

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2. William J. Rothwell, and John E. Lindholm. "Competency Identification, Modeling and Assessment in the USA." *International Journal of Training and Development*, (Oxford, UK 1999), 98
3. Robert Fitzpatrick. "Review of *Building Robust Competencies: Linking Human Resource Systems to Organizational Strategies*" by Paul C. Green. *Personnel Psychology* (Durham, Spring 2000) 248-249.
4. William J. Rothwell, *Effective Succession Planning: Ensuring Leadership Continuity and Building Talent From Within*, 2nd Edition, (New York: AMACOM, 2001), 169.
5. Jack J. Phillips, series editor and Patricia Pulliam Phillips, editor, *Measuring ROI in the Public Sector* (Virginia: ASTD, 2002), Chandler Atkins, "How a Pilot Study Launched Training ROI Evaluation: New York State Governor's Office of Employee Relations," 101-116.

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10. WORKGROUP MEMBERS

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APPENDIX A

JOB ANALYSIS STEPS

1. Create a draft listing of important job components and associated knowledge/skills/abilities (competencies) by reviewing classification documents, job specifications, and other records describing the job and benchmarking other states and/or federal agencies. Job components are major activities, duties, functions, or responsibilities involved in performing the job.
2. Interview a sample of incumbents (conduct job audits) to verify and expand upon the draft of important job components and competencies.
3. Create a second draft of important job components and associated competencies based on the interviews.
4. Have subject matter experts review the second draft, and contribute additional information.
5. Create a third draft of important job components and associated competencies based on subject matter expert input.
6. Create a job analysis questionnaire from the third draft and distribute it to a representative sample of incumbents. The purposes of the questionnaire are to verify the accuracy of the information, to assess the relative importance of each job component and competency with respect to successful job performance, and to determine whether the competencies are brought to or acquired on the job.
7. Create a final draft of essential job components and linked competencies based on the compilation and analysis of completed job analysis questionnaires. Some competencies may link to multiple job components.
8. Determine appropriate testing tools for assessing the competencies.
9. Have subject matter experts review and approve the results.

APPENDIX B

LEADERSHIP AND MANAGEMENT COMPETENCIES LIST

The Competencies Workgroup created this listing, drawing heavily on the competency models cited in the Workgroup's report (see page 10). The competencies are offered for your use in constructing your own leadership and management competency models. Note that:

- It is not a comprehensive list but includes competencies that the Workgroup considered important.
- In many cases competencies overlap.
- Some competencies listed may also be used to group several competencies.
- The definitions are in the form of behavioral statements, wherever possible, to ground the competencies in observable behaviors.
- You may wish to create a summary definition from the bullets, delete bullets, or add your own to tailor the competencies for your own use.

Send questions and comments to workforce@goer.state.ny.us.

Competencies

Accountability.....	30	Influencing Others.....	38
Analytical Thinking.....	30	Initiative.....	38
Building Trust.....	30	Innovation.....	38
Change Management	31	Interpersonal Skills.....	39
Coaching.....	31	Listening.....	39
Communicating in Writing.....	32	Maintaining Personal Credibility/ Meeting Ethical Standards.....	39
Communicating Orally.....	32	Managing Performance.....	40
Conflict Management.....	33	Managing Risk.....	40
Continual Learning.....	33	Negotiating.....	41
Continual Improvement.....	33	Organizational Communications.....	41
Customer Focus.....	33	Partnering/Networking.....	41
Decision Making.....	34	Political Skill.....	41
Delegation.....	34	Project Management.....	42
Developing Others	34	Providing Direction.....	42
Emotional Intelligence.....	35	Providing Motivational Support.....	42
Empowering Others.....	35	Solving Problems.....	43
Entrepreneurship	35	Systems Thinking.....	43
Establishing Focus/Setting Direction...	36	Technical Credibility.....	43
Exercising Self-Control/Being Resilient	36	Technology Use/Management.....	44
Facilitation.....	36	Thinking Strategically.....	44
Fiscal Management.....	36	Valuing and Leveraging Diversity...	44
Flexibility.....	36	Visioning.....	45
Getting Results.....	37		

Accountability

- Defines objectives and strategies to meet customer requirements and organizational goals and objectives.
 - Manages performance to achieve expected results.
 - Keeps informed of performance through face-to-face meetings, written communications, analytical reports, and performance measures.
 - Keeps supervisor informed of progress, issues, and potential problems.
 - Maintains a cost/effective balance of controls and risk-taking to ensure effective and efficient operation within budget.
 - Identifies and addresses areas of weakness that may affect organizational performance.
 - Takes full responsibility for results.
-

Analytical Thinking

- Approaches a situation or problem by defining the problem or issue; determining its significance; collecting data; using tools such as flow charts, Pareto charts, fish diagram, etc. to disclose meaningful patterns in the data; making inferences about the meaning of the data; and using logic and intuition to arrive at conclusions or decisions.
 - Sees most of the forces, events, entities, and people that are affecting (or are being affected by) the situation at hand.
 - Makes a systematic comparison of two or more alternatives.
 - Notices discrepancies and inconsistencies in available information.
 - Identifies a set of features, parameters, or considerations to take into account, in analyzing a situation or making decisions.
 - Approaches a complex task or problem by breaking it down into its component parts and considering each part in detail.
 - Weighs the costs, benefits, risks, and chances for success, in making a decision.
 - Identifies many possible causes for a problem.
 - Carefully weighs the priority of things to be done.
-

Building Trust

- Communicates an understanding of the other person's interests, needs and concerns.
- Makes and meets commitments that contribute to addressing the other person's interests, needs, and concerns.
- Identifies and communicates shared interests and goals.
- Identifies and communicates differences as appropriate.

- Addresses perceived harm to the other person by fully acknowledging any harm done, clarifying intentions, and finding a suitable remedy that affirms the value of the relationship.
 - Uses a win-win approach to resolving conflicts or conducting negotiations.
 - Develops, maintains, and strengthens partnerships with others inside or outside the organization who can provide information, assistance, and support.
 - Demonstrates honesty, keeps commitments, and behaves in a consistent manner.
 - Shares thoughts, feelings, and rationale so that others understand personal positions.
 - Remains open to others' ideas and opinions even when they conflict with their own.
-

Change Management

- Demonstrates support for innovation and for organizational changes needed to improve the organization's effectiveness.
 - Initiates, sponsors, and implements organizational change.
 - Helps others to successfully manage organizational change.
 - Facilitates the implementation and acceptance of change within the workplace.
 - Acts as a champion for change.
 - Develops, plans, and follows through on change initiatives.
 - Accepts the ambiguity that comes with change activities.
 - Encourages others to seek opportunities for different and innovative approaches to addressing problems and opportunities.
 - Involves appropriate parties in changes.
 - Encourages others to question established work processes or assumptions and challenges them to ask "why" until cause is discovered.
 - Addresses change resistance and shows empathy with people who feel a loss as a result of change.
 - Works cooperatively with others to produce innovative solutions.
 - Facilitates groups or teams through the problem-solving and creative-thinking processes leading to the development and implementation of new approaches, systems, structures, and methods.
 - Implements or supports various change management activities (e.g., communications, education, team development, coaching).
 - Establishes structures and processes to plan and manage the orderly implementation of change.
 - Helps employees develop a clear understanding of what they will need to do differently as a result of changes in the organization.
-

Coaching

- Clarifies responsibilities, authority, and expectations.

- Provides timely guidance and feedback to help staff accomplish a task or solve a problem.
 - Provides guidance in how to strengthen knowledge and skills to improve personal and organizational performance.
 - Provides new assignments and experiences to develop the employees' capability.
 - Communicates effectively and develops subordinates.
 - Conducts performance appraisal and feedback.
 - Works with employee behavior problems.
-

Communicating in Writing

- Presents information, analysis, ideas, and positions in writing in a clear and convincing manner.
 - Organizes written ideas clearly and signals the organization of the document to the reader (e.g., through an introductory paragraph or use of headings).
 - Uses appropriate writing style consistent with organizational guidelines and norms.
 - Tailors writing to effectively reach the intended audience.
 - Uses graphics and other aids to clarify complex or technical information.
 - Documents created include correct spelling, grammar and punctuation.
 - Demonstrates a willingness to share ideas and perspectives and encourages others to do the same.
-

Communicating Orally

- Makes clear and convincing oral presentations(to individuals and groups) that achieve their purpose.
- Speaks clearly so that others can hear what is being said.
- Tailors oral communications, whether formal (e.g., speech) or informal, to the level and experience of the audience.
- Uses presentation software, graphics, and other aids to clarify complex or technical information.
- Organizes ideas in a clear, logical flow that can easily be followed by the audience.
- Maintains eye contact with all members/areas of the audience, unless cultural norms dictate not maintaining eye contact in individual communications.
- Listens effectively (see definition, page 39).
- Summarizes or paraphrases understanding of what listeners say in questions or comments to verify understanding and prevent miscommunication.
- Demonstrates a willingness to share ideas and perspectives and encourages others to do the same.

Conflict Management

- Recognizes differences of opinion, brings them out into the open for discussion, and looks for win-win solutions.
 - Uses appropriate interpersonal styles and methods to reduce tension or conflict between two or more people.
 - Finds agreement on issues and follows through on implementation.
 - Deals effectively with others in an antagonistic situation.
-

Continual Learning

- Demonstrates an understanding of new information.
 - Masters new technical and organization concepts and information.
 - Builds on strengths and addresses weaknesses.
 - Curious.
 - Pursues self-development.
 - Seeks feedback from others and is receptive to new ideas and perspectives.
 - Seeks opportunities to master new knowledge.
-

Continual Improvement

- Stresses accountability and continuous improvement.
 - Builds on ideas of others to come up with new ways to address organizational issues or problems.
 - Generates creative new solutions and approaches to customer issues and organizational processes.
 - Makes use of quality tools to improve processes.
-

Customer Focus

- Makes customers and their needs a primary focus of one's actions.
- Develops and sustains productive customer relationships.
- Readily readjusts priorities to respond to pressing and changing client demands.
- Quickly and effectively solves customer problems.
- Is accessible and provides prompt, attentive service.
- Talks to customers (internal or external) to find out what they want and how satisfied they are with what they are getting.
- Develops and maintains strong relationships with customers.
- Develops trust and credibility with the customer.
- Lets customers know he/she is willing to work with them to meet their needs.

- Finds ways to measure and track customer satisfaction.
 - Presents a cheerful, positive manner with customers.
 - Understands and is responsive to customers' objectives and needs.
 - Goes the extra mile to satisfy customer needs and expectations.
-

Decision Making

- Makes timely and sound decisions.
 - Identifies and understands issues, problems, and opportunities.
 - Compares data from different sources to draw conclusions.
 - Uses effective approaches for choosing a course of action or developing appropriate solutions.
 - Takes action that is consistent with available facts, constraints, and probable consequences.
 - Modifies decisions based on new information when appropriate.
 - Takes calculated risks.
 - Takes responsibility for decisions.
 - Understands the impact and implications of decisions and provides feedback on outcomes.
 - Creates relevant options for addressing problems and opportunities and achieving desired outcomes.
 - Includes others in the decision-making process as warranted to help make the most appropriate decision and to gain buy-in.
-

Delegation

- Assigns decision-making and work functions to others in an appropriate manner to maximize organizational and individual effectiveness.
 - Clearly communicates the parameters of the delegated responsibility, including decision making authority and any required actions, constraints, or deadlines.
 - Provides appropriate support and acts as a resource depending on the situation and capabilities of the employee.
 - Establishes procedures to keep informed of issues and results of delegated responsibilities.
-

Developing Others

- Uses appropriate methods and a flexible interpersonal style to help others develop their capabilities.
- Provides helpful, behaviorally specific feedback to others.
- Shares information, advice, and suggestions to help others to be more successful.

- Provides effective coaching.
 - Gives people assignments that will help develop their abilities.
 - Regularly meets with employees to review their development progress.
 - Recognizes and reinforces people's developmental efforts and improvements.
 - Expresses confidence in others' ability to be successful.
 - Participates in opportunities to enhance knowledge and skills in others.
 - Helps others learn new systems, processes, or programs.
 - Collaboratively works with direct reports to set meaningful performance objectives.
-

Emotional Intelligence

- Demonstrates an ability to control and filter emotions in a constructive way.
 - Exhibits consideration of the feelings of others when/before taking action.
 - Demonstrates recognition of the various psychological and emotional needs of people.
 - Expresses feelings clearly and directly.
 - Balances feelings with reason, logic, and reality.
 - Demonstrates an appreciation of the differences in how others feel about things.
-

Empowering Others

- Gives people latitude to make decisions based on their level and area of responsibility and level of knowledge and skills.
 - Encourages individuals and groups to set their own goals consistent with organizational goals.
 - Provides resources and support needed.
 - Encourages groups to resolve problems on their own; avoids prescribing a solution.
-

Entrepreneurship

- Actively seeks out and identifies opportunities to develop and offer new products and services within or outside the organization.
- Proposes innovative business deals to customers, suppliers, and business partners.
- Initiates actions that may involve deliberate risk to achieve a recognized benefit or advantage.
- Stays abreast of government, business, industry, and market information that may reveal opportunities for innovative products and services.
- Also see *Innovation*.

Establishing Focus/Setting Direction

- Acts to align own unit's goals with the strategic direction of the organization.
- Ensures that people in the unit understand how their work relates to the organization's mission.
- Ensures that everyone understands and identifies with the unit's mission.
- Ensures that the unit develops goals and a plan to help fulfill the organization's mission.
- Uses effective techniques to define outcomes and expectations.

Exercising Self-Control and Being Resilient

- Keeps functioning effectively under critical and tight deadlines, heavy workloads, and/or other pressures.
- Can effectively handle several challenging problems or tasks at once.
- Maintains self-control when personally criticized (vs. criticizing ideas), verbally attacked or provoked.
- Maintains a sense of humor under difficult circumstances.
- Deals effectively with pressure and stress.
- Maintains focus and intensity and remains optimistic and persistent, even under adversity.
- Recovers quickly from setbacks.
- Effectively manages own behavior and time, including balancing work and personal life.

Facilitation

- Uses group skills to lead the group to consensus, effectively solve problems, and accomplish tasks.
- Exhibits behaviors and techniques that enhance the quality of group processes.
- Evokes participation and creativity from others.
- Effectively distinguishes process from content.

Fiscal Management

- Develops program and resource plans and budgets for projects, or units.
- Understands the relationship of the budget and resources to the strategic plan.
- Monitors expenditures and resources to ensure spending is within allotments, or makes appropriate modifications.

- Complies with administrative controls over funds, contracts, and procurements, to preclude fraud or mismanagement of government resources.
 - Monitors and verifies ongoing cost effectiveness.
-

Flexibility

- Makes effective decisions and achieves desired results in the midst of major changes in responsibilities, work processes, timeframes, performance expectations, organizational culture, or work environment.
 - Picks up on the need to change personal, interpersonal, and professional behavior quickly based on the demands of the project, customer, or solution.
 - Re-evaluates decisions when presented with new information.
 - Readily integrates changes midstream into work processes and outputs.
 - Is able to see the merits of perspectives other than his or her own.
 - Demonstrates openness to new organizational structures, procedures, and technology.
 - Switches to a different strategy when an initially selected one is not working and not worth the investment to try to make it work.
 - Maintains effectiveness when experiencing major changes in work tasks or the work environment.
 - Shifts gears comfortably.
 - Makes decisions and acts without having to have every detail clear.
-

Getting Results

- Takes risks in improving products and services, while holding self and others accountable.
- Finds or creates ways to measure performance against goals.
- Seeks to accomplish critical tasks with measurable results.
- Strives for excellence in performance by surpassing established standards.
- Has a strong sense of urgency about solving problems and getting work done.
- Develops clear and challenging but achievable personal and organizational goals.
- Identifies and pursues desired outcomes for projects and meetings.
- Continues to work toward achievement of goals in the face of obstacles.
- Shows a significant level of effort, persistence, and time commitment to achieve goals.
- Takes extraordinary measures to solve problems and get work done when the situation calls for it.
- Doesn't allow mistakes, failure, and other personal crises to undermine results.

Influencing Others

- Presents facts, analysis, and conclusions or solutions in a way that demonstrates command of content; factors in perspectives and interests of the audience; and shows what's in it for them or what meets the common good.
- Appropriately, involves others in a process or decision to ensure their support.
- Offers trade-offs or exchanges to gain commitment.
- Structures situations (e.g., the setting, persons present, sequence of events) to create a desired impact and to maximize the chances of a favorable outcome.
- Works to make a particular impression on others.
- Identifies and targets efforts to influence the real decision makers and those who can influence them.
- Seeks out and builds relationships with others who can provide information, intelligence, career support, potential business, and other ways to help.
- Takes a personal interest in others (e.g., by asking about their concerns, interests, family, friends, hobbies) to develop relationships.
- Presents information or data that has a strong effect on others as evidenced by their reactions to it.
- Uses language and examples that speak to the issues, experience and organizational level of the audience.
- Uses stories, analogies, or examples that effectively illustrate a point.
- Uses graphics, overheads, or slides that display information clearly with high impact.
- Gains the support of others in meeting objectives by acknowledging their resistance and fears; addressing their questions and concerns; and accommodating them to the extent possible without undermining the effort.

Initiative

- Identifies what needs to be done and takes action before being asked, when the situation requires it.
- Does more than what is normally required in a situation.
- Seeks out others involved in a situation to learn their perspectives.
- Takes independent action to change the direction of events.
- Takes prompt action to accomplish objectives and achieve goals beyond what is required.

Innovation

- Is receptive to new ideas and adapts to new situations.
- Exhibits creativity and innovation when contributing to organizational and individual objectives.

- Takes calculated risks.
 - Seeks out opportunities to improve, streamline, re-invent work processes.
 - Helps others overcome resistance to change.
 - Thinks expansively by combining ideas in unique ways or making connections between disparate ideas.
 - Explores numerous potential solutions and evaluates each before accepting any, as time permits.
 - Targets important areas for innovation and develops solutions that address meaningful work issues.
 - Develops new products or services, methods or approaches.
 - Sponsors the development of new products, services, methods, or procedures.
 - Develops better, faster, or less expensive ways to do things.
 - Creates a work environment that encourages creative thinking and innovation.
 - Adapts best practices and processes to the work unit.
-

Interpersonal Skills

- Considers and responds appropriately to the needs, feelings, and capabilities of different situations.
 - Relates well with others.
 - Maintains confidentiality.
 - Demonstrates consistency and fairness.
 - Anticipates and resolves confrontations, disagreements, and complaints in a win-win way.
 - Is tactful, compassionate and sensitive, and treats others with respect.
 - Provides timely and honest feedback in a constructive and non-threatening way.
-

Listening

- Provides feedback on what was heard.
 - Responds to statements and comments of others in a way that reflects understanding of the content of what was said and the accompanying emotion expressed.
 - Asks clarifying questions when understanding is incomplete to assure the speaker of the commitment to understanding what was said.
 - Persists in seeking understanding despite obstacles.
-

Maintaining Personal Credibility/Meeting Ethical Standards

- Does what he or she commits to doing.
- Respects the confidentiality of information and concerns shared by others.
- Is honest and forthright with people.

- Provides frank, open, and accurate feedback while avoiding destructive comments.
 - Has calm and steady demeanor.
 - Works through interpersonal conflicts to ensure problems are addressed and relationships are strengthened.
 - Carries his or her fair share of the workload.
 - Takes responsibility for own mistakes; does not blame others.
 - Conveys a command of relevant concepts, facts, and information in matters involved in.
 - When confronted with ethical dilemmas, acts in a way that reflects relevant law, policy and procedures, agency values, and personal values.
-

Managing Performance

- Sets clear goals for the employees and the work unit.
 - Works with employees to set and communicate performance standards that are specific and measurable.
 - Supports employee efforts to achieve job and organizational goals (e.g., by providing resources, removing obstacles, acting as a buffer).
 - Establishes and maintains formal and informal methods to track employees' progress and performance (e.g., status reports, managing by walking around).
 - Provides specific performance feedback, both positive and corrective, as soon as possible after the event or action.
 - Deals firmly and promptly with organizational performance problems by working with staff to diagnose problems, develop solutions, and monitor progress while keeping upper level management informed.
 - Deals firmly and promptly with employee performance problems by establishing facts of behavior with the employee, setting expectations, monitoring behavior/performance, and taking disciplinary action when the behavior warrants it.
 - Develops performance expectations and performance agreements with direct reports.
 - Evaluates priorities to ensure the 'true' top priorities are handled satisfactorily.
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Managing Risk

- Takes stances or makes decisions that involve personal risk, but which are judged advantageous to the individual and agency.
- Takes actions in which the benefits to the efficiency and effectiveness of service delivery are weighed against potential risks.
- Establishes prevention and detection internal controls which address potential risks of inefficiency, ineffectiveness, fraud, abuse or mismanagement with reasonable assurance (i.e., meet cost/benefit criteria).

- Creates a positive internal control environment by demonstrating support for the agency's internal program through behavior, presentations, and discussions.
 - Handles risk and uncertainty.
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Negotiating

- Confirms agreement on the facts.
 - Confirms understanding of others' perspectives and wants.
 - Clearly presents own perspective and wants.
 - Achieves "win-win" outcomes by identifying common interests, clarifying differences, and achieving consensus or compromise.
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Organizational Communications

- Ensures that others involved in a project or effort are kept informed about developments and plans.
 - Ensures that important information from management is shared with employees and others as appropriate.
 - Shares ideas and information with others who might find them useful.
 - Uses multiple channels or means to communicate important messages (e.g., memos, newsletters, meetings, email, intranet).
 - Keeps manager informed about progress and problems.
 - Establishes communication plans and/or systems to ensure that communications fully support the work of the organization.
 - Ensures that regular, consistent communication takes place within area of responsibility.
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Partnering/Networking

- Develops networks and builds alliances.
 - Participates in cross-functional activities to achieve organizational objectives.
 - Collaborates across internal and external agency boundaries to meet common objectives.
 - Keeps support areas like budget and HR informed of program priorities, needs, and issues, in pursuit of responsive service.
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Political Skill

- In taking action, demonstrates an understanding and consideration of how it will impact stakeholders and affected areas in the organization.

- Makes remarks and gestures in politically charged situations that move the group or situation toward a productive outcome.
 - Uses the "informal" organization to obtain information or accomplish something when the formal organization can't meet the need, without creating problems with the formal organization.
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Project Management

- Ensures support for projects and implements agency goals and strategic objectives.
 - Seeks and documents customer needs and ensures and measures customer satisfaction.
 - Defines outcomes and expectations based on customer requirements.
 - With staff, develops a workplan with tasks, timeframes, milestones, resources, and dependencies.
 - Uses resources efficiently and manages effectively within budget limits.
 - Ensures quality and quantity standards are met.
 - Anticipates potential problems and institutes controls and contingency plans to address them.
 - Monitors project progress and evaluates performance.
 - Responds effectively to unforeseen problems.
 - Identifies improvement areas and resolves barriers to task completion.
 - Sets deadlines in a way that gets commitment from all parties involved.
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Providing Direction

- Provides structure.
 - Identifies a clear, motivating, challenging vision, and direction.
 - Builds architecture to implement that vision and direction and empowers and enables organizational members to carry out and implement that vision.
 - Aligns staff to goals, delegates effectively, motivates others, gives clear direction, and initiates projects or actions.
 - Sets long- and short-term goals.
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Providing Motivational Support

- Recognizes and rewards people for their achievements.
- Acknowledges and thanks people for their contributions in completing work and meeting customer needs.
- Expresses pride in the group and encourages people to feel good about their accomplishments.

- Finds creative ways to make people's work rewarding.
 - Signals own commitment to process by being personally present and involved at key events.
 - Identifies and promptly tackles morale problems.
 - Gives talks or presentations that energize groups.
 - Provides training and development activities.
 - Provides challenging and enriching assignments that employees enjoy and learn from.
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Solving Problems

- Approaches a situation or problem by defining the problem or issue.
 - Determines the significance of problems.
 - Collects data, distinguishing between relevant and irrelevant data.
 - Uses tools such as flow charts, Pareto charts, fish diagram, etc. to disclose meaningful patterns in data.
 - Makes inferences about the meaning of the data.
 - Uses logic and intuition to arrive at decisions or solutions to problems that achieve the desired outcome.
 - Also see *Analytical Thinking*.
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Systems Thinking

- Implements solutions to organizational problems and develops organizational or service delivery systems in a way that factors in or encompasses the interactions of all of the systems and organizational entities involved.
 - Provides analysis of problems and issues that accounts for the interactions of all systems and organizational entities involved over time.
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Technical Credibility

- As technical legal and policy issues arise within the workforce, communicates understanding, interest, and commitment to addressing them.
- Appropriately applies procedures, requirements, regulations, and policies to related service delivery or regulatory activities.
- Develops program goals, objectives and strategies that are feasible and desirable in clear recognition of technical policies, issues, and limitations.
- Hires managers/supervisors who taken together provide an appropriate mix of technical and managerial expertise.
- Addresses organizational technical training and development needs.

Technology Use/Management

- Understands and uses basic technology as a tool in staff communication (e.g., email, scheduling, etc.).
- Understands technology well enough to make management level decisions on purchasing equipment, software, and other IT related expenses.
- Explores technological options for program operations.
- Explores new applications or enhancements with appropriate IT staff to assist staff in carrying out responsibilities and to provide better services to customers.
- Is creative and visionary in the application of technology to improve services and productivity.
- Encourages staff development and training for new IT applications.
- Proficient in using appropriate personal computer software and agency communication systems.
- Uses efficient and cost-effective approaches to integrate technology into the workplace and improve program effectiveness.
- Develops strategies using new technology to enhance decision making.
- Understands the impact of technological changes on the organization.

Thinking Strategically

- Formulates strategies that are achievable, cost-effective, and address organizational goals by themselves or in coordination with other strategies.
- Formulates strategies that take organization's strengths and weaknesses into account.
- Researches, interprets, and reports on long-term customer/client trends for the purpose of formulating policy and strategy.
- Provides analysis of policy issues, develops program proposals, and develops plans that address long-term customer and stakeholder needs and concerns.

Valuing and Leveraging Diversity

- Values diversity as exhibited in hiring choices, assignments made, teams formed, and interaction with others.
- Shows respect for people regardless of race, gender, disability, lifestyle, or viewpoint.
- Actively seeks out different viewpoints and leverages the benefits of different perspectives.
- Seeks to understand the perspective of others when he or she disagrees with them, and responds appropriately.
- Leads and manages an inclusive workplace that maximizes the talents of each person to achieve sound organizational results.

- Fosters an environment in which people who are culturally diverse can work together cooperatively and effectively in achieving organizational goals.
 - Recruits, develops and retains a diverse, high quality workforce.
 - Develops and uses measures and rewards to hold self and others accountable for promoting and achieving diversity in respect to women, ethnic groups, and others in hiring and utilizing and developing staff.
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Visioning

- Communicates a clear, vivid and relevant description or picture of where the organization should be three, five, or ten years out.
- Expresses the vision in a way that resonates with others as demonstrated by their words and actions.
- Builds a shared vision with others.
- Influences others to translate vision to action.

APPENDIX C: BACKGROUND OF THE WORKGROUPS

In January 2002, the Governor's Office of Employee Relations and the Department of Civil Service formed eight interagency workgroups, organized around selected workforce and succession planning topics. The mission of the workgroups was to compile and share information that might be useful to agencies in their workforce and succession planning efforts. This was a follow-up to issuance of the planning guide, "Our Workforce Matters," and activation of the workforce and succession planning website, both of which were made available in October 2001.

Each of the workgroups was comprised of volunteers who continued to have full-time responsibilities in their agencies. A six-month time limit was set to ensure that reports could be written before burnout set in and other priorities took precedence. The workgroups agreed to get as much done as possible in the time allotted. Their reports are being added to the workforce and succession planning website (<http://www.goer.state.ny.us/workforce> or <http://www.cs.state.ny.us/workforce>) as they are completed. In addition to Competencies, the workgroups included:

- Recruitment and Selection
- Retiree Resources
- Retention
- Staff Development
- Mentoring
- Management Mobility
- Knowledge Management and Transfer