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# BY THE U.S. GENERAL ACCOUNTING OFFICE

## Report To The Chairman, Subcommittee On Civil Service, Post Office, And General Services Committee On Governmental Affairs United States Senate

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### Progress Report On Federal Executive Development Programs

The Office of Personnel Management (OPM) and five agencies GAO reviewed established and are operating executive development programs required by the Civil Service Reform Act of 1978. Most program participants GAO interviewed believed the programs were beneficial in preparing candidates for the Senior Executive Service (SES) and in improving the ability of SES members to do their jobs.

Officials in four of the five agencies GAO reviewed believed OPM's executive development guidance was difficult to use because it was fragmented and they expressed concern about OPM's reduction in the level of agency assistance following budget cutbacks in fiscal year 1982. All five of the agencies were, in some instances, not complying with parts of OPM's executive development program guidance and regulations.

OPM consolidated its program guidance, assigned additional staff members to assist the agencies, and reemphasized to the agencies their responsibilities for compliance with OPM guidance and regulations. These measures should alleviate the agencies' concerns and improve their compliance with OPM's guidance and regulations.



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**UNITED STATES GENERAL ACCOUNTING OFFICE**  
**WASHINGTON, D.C. 20548**

**GENERAL GOVERNMENT  
DIVISION**

B-215813

The Honorable Ted Stevens  
Chairman, Subcommittee on Civil Service,  
Post Office, and General Services  
Committee on Governmental Affairs  
United States Senate

Dear Mr. Chairman:

This report responds to your request that we review executive development programs for Senior Executive Service (SES) candidates and members, established under provisions of the Civil Service Reform Act of 1978. As agreed with your office, we reviewed how the Office of Personnel Management (OPM) was fulfilling its agency assistance and oversight responsibilities under the act and how executive development programs were being carried out in five federal agencies--the Departments of Agriculture, the Air Force, Education, and Justice; and the National Science Foundation (NSF).

OPM and the five agencies we visited have established and are operating executive development programs. OPM issued guidance and regulations, provided assistance to the agencies, monitored their progress, and administered an executive development program for agencies that did not have enough SES positions to justify operating their own programs. The agencies selected SES candidates, assigned mentors to them, and provided training and developmental assignments to both SES candidates and SES members. Most agency officials, SES candidates, SES members serving as candidates' mentors, and other SES members we interviewed believed the programs were beneficial.

We found, however, that four of the five agencies we reviewed were concerned about OPM's guidance and its reduction in assistance following budget cutbacks in fiscal year 1982. Officials of the agencies we reviewed--except for the Air Force--expressed concern that OPM's guidance materials were difficult to use because they had been issued in piecemeal fashion, were frequently changed, and lacked consistency. Officials of these agencies were also concerned because, after budget cutbacks in

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fiscal year 1982, OPM reduced the level of assistance it had provided earlier. Air Force officials said they did not rely heavily on OPM's formal guidance and expressed satisfaction with the assistance they had received from OPM. Our review also showed that, in some cases, the five agencies visited were not complying with OPM's executive development program guidance and regulations. Some mentors were not providing assistance to SES candidates in all OPM-prescribed areas, SES members often did not have required individual development plans, and only one of the five agencies--Agriculture--had formally evaluated its executive development program.

OPM has taken several actions to address agency concerns and noncompliance. As part of a revised and expanded approach encompassing the development of supervisors, managers, and executives, OPM consolidated its program guidance into a new Federal Personnel Manual (FPM) Chapter 412, superseding the various bulletins and letters previously issued. The new chapter was issued on July 18, 1984. OPM has also assigned 10 staff members to serve as agency liaison officers in an effort to improve its assistance to the agencies. Each of the 10 staff members is responsible for a group of agencies. Five OPM staff members were assigned to provide agency assistance before the fiscal year 1982 budget cuts. Although the 10 OPM staff members have other training and development responsibilities, OPM officials believe these responsibilities will complement their agency assistance duties.

OPM's new FPM chapter also specifically addresses the areas in which we identified instances of agency noncompliance with OPM guidance and regulations. The chapter states that agencies must ensure that

- candidates' mentors are aware of their responsibilities and are properly prepared to fulfill their roles,
- SES members prepare and regularly update their individual development plans, and
- executive development officials establish evaluation systems to assess both program and individual participant's success.

OPM's revised FPM chapter on supervisory, management, and executive development has only recently been issued; therefore, it is too early to begin assessing its effects. Organizational and operational changes in OPM to implement the revised approach to management development are still in process. We plan in the

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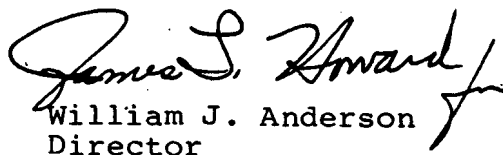
future to assess OPM's and the agencies' progress in implementing the revised approach.

Appendix I to this letter provides the details of our review, including a discussion of our objectives, scope, and methodology. Appendix II highlights the results of our executive development questionnaire administered to a total of 390 SES candidates, SES members serving as candidates' mentors, and other SES members. Appendix III provides information, as of March 1984, on the study or work activities of the 12 SES members who have participated in sabbaticals provided for by the Civil Service Reform Act.

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As requested by your office, we did not obtain agency comments on this report. Also, as arranged with your office we are sending copies of this report to the Directors of OPM and the National Science Foundation; the Secretaries of Agriculture, Defense, Air Force, and Education; and the Attorney General. We will also send copies to other interested parties and make copies available to others upon request.

Sincerely yours,

  
William J. Anderson  
Director

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PROGRESS REPORT ON FEDERAL  
EXECUTIVE DEVELOPMENT PROGRAMSOBJECTIVES, SCOPE, AND METHODOLOGY

Our objectives were to (1) assess executive development efforts at OPM and selected agencies and (2) obtain the views of SES candidates, their mentors, and SES members about their executive development experiences. We did not attempt to evaluate the relevancy, substance, or quality of the training and assignments provided in executive development programs; however, we did obtain and analyze program participants' and officials' perceptions on these matters. We did our review at OPM, which has overall responsibility for federal executive development programs, and five selected agencies.

We selected five agencies' programs to review--the Departments of Agriculture, the Air Force, Education, and Justice; and the National Science Foundation. We selected these agencies' programs because we wanted to obtain information about programs which varied in size and implementation. Because of the program differences, the results of our work cannot be projected.

We also obtained information about a series of seminars and policy discussions conducted by the Department of Treasury's Executive Institute for Treasury's SES candidates and members. We have included this information in our report because Treasury is considering opening its seminars and discussions to other agencies. We did not, however, evaluate Treasury's executive development program.

We interviewed executive development officials at OPM and the five agencies reviewed to assess their executive development roles and the policies, procedures, and practices used to develop SES candidates and members. We reviewed applicable laws, OPM and agency regulations, executive development plans, budget data, and employees' individual development plans.

We interviewed by telephone a total of 390 SES candidates, SES members serving as candidates' mentors, and other SES members to obtain information about their developmental activities and the roles of candidates' mentors. These interviews were conducted during June and July 1983. The methodology used to conduct the interviews is discussed in appendix II. Our review was conducted primarily at OPM and the five agencies' headquarters in Washington, D.C., although we interviewed SES candidates, candidates' mentors, and SES members located in various agency field installations in the United States. Our review work was conducted from October 1982 to September 1983 in accordance with generally accepted government audit standards except that we did not obtain agency comments. We updated our

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information on OPM's executive development efforts in March and April 1984.

OPM'S ROLE IN EXECUTIVE DEVELOPMENT

Title IV of the Civil Service Reform Act of 1978 established the SES and required OPM to set up programs for (1) the systematic development of SES candidates and (2) the continuing development of SES members. The act provided that OPM could either operate such programs or require the agencies to do so under OPM criteria, guidance, and oversight. In practice, OPM has delegated to agencies the responsibility for planning, implementing, and operating executive development programs under OPM prescribed criteria.

OPM undertook a number of efforts to carry out its executive development responsibilities. These included establishing competency areas as the basis for executive development, convening review boards to review the qualifications of SES candidates in the competency areas, providing guidance and assistance to agencies, overseeing the implementation of agency executive development programs, and administering a candidate development program for agencies that did not have enough SES positions to justify operating their own programs.

These efforts dealt with the development of SES candidates and SES members. OPM has recently revised and expanded its management development approach to give greater attention to the development of individuals as they progress through the career levels from supervisor to manager to executive.

Executive competencies

OPM's initial research efforts focused on developing a data base on federal managers' and executives' duties and competencies, including a survey to distinguish between the duties of federal managers and executives. After this survey, OPM interviewed agency executives and identified six competency areas to use as a framework to determine individual developmental needs. The six areas are (1) integration of internal and external program-policy issues; (2) organizational representation and liaison; (3) direction and guidance of programs, projects, or policy development; (4) acquisition and administration of financial and material resources; (5) utilization of human resources; and (6) review of implementation and results. Candidates must be certified in these areas by OPM-convened qualification review boards before they can be appointed to SES positions.

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Qualification review boards

OPM convenes qualification review boards to review application packages which agencies submit as evidence that a person is qualified to join the SES. The Reform Act requires that more than one-half of each board comprise career executives. Board membership rotates among agencies on an ad-hoc basis. The boards are concerned primarily with an individual's qualifications to satisfy the six competency areas. They do not review technical qualifications for a specific SES position, as this is done by agencies' executive resources boards. Governmentwide, between July 1979 and March 1984, agencies submitted 3,622 candidates to the qualification review boards for review. All but 51 were approved--23 were disapproved and 28 were returned without action to the agencies, and were not resubmitted.

Agency assistance and oversight

After the Civil Service Reform Act went into effect in July 1979, OPM assigned five people to assist agencies with executive development. They were in regular contact with the agencies, providing technical information, answering questions, interpreting OPM guidance, and overseeing agency executive development efforts. To meet its oversight responsibilities, OPM periodically reviewed and granted provisional approval to agencies' executive development plans. OPM also shared with the agencies information on executive development through a publication clearinghouse and various workshops and forums. Publications included a periodic newsletter on OPM and agency executive development activities, and fact sheets and other issuances about executive development. In addition, OPM issued various Federal Personnel Manual bulletins and letters on executive development.

An important part of OPM's executive development efforts involved developing materials for the agencies to use in their programs. In 1980, OPM awarded a \$640,000 contract to Harvard University to develop federal management case studies and simulations that agencies could use in their executive development programs. In June 1982, OPM and Harvard sponsored a workshop on how to use the case studies and simulations. OPM has circulated the case studies and simulations to the agencies for use in their programs. OPM has also begun integrating the case studies into its training curriculum. Officials of the five agencies we visited believe the case studies were useful.

After budget and staff cutbacks in 1982--a part of the general budget reductions for nondefense agencies--OPM reduced much of its assistance and oversight of agency executive development programs. Although documentation of resources devoted to executive development was not available, OPM officials



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estimated that staff years devoted to executive development research, policy, and advisory service dropped from about 20 in fiscal 1981 to about 7 in 1983. Contacts with agencies were reduced; OPM stopped its periodic reviews of agency plans, disseminated less information about executive development, and sponsored fewer workshops and forums.

Executive development officials at the agencies we visited, except for the Air Force, were concerned with OPM's curtailment of service and with what they perceived as guidance that was fragmented, at times inconsistent, and, consequently, difficult to use. They believed that the information OPM had provided through its publication clearinghouse and workshops was useful. They also said they had difficulty obtaining responsive and accurate answers to their questions from OPM. Air Force officials said they did not rely heavily on OPM for guidance and expressed satisfaction with OPM's program assistance.

OPM officials acknowledged that some of their executive development services may have been impaired after the fiscal year 1982 budget cuts. However, they believe recent actions will alleviate the problem. For example, in March 1984, 10 members of OPM's staff--compared with 5 in 1979--were assigned to serve as liaison officers to the agencies. These individuals have various training and development program responsibilities and are expected to maintain close contact with their assigned agencies. OPM has also consolidated its program guidance into a new FPM Chapter 412, superseding the various bulletins and letters previously issued and providing a single source of guidance for the agencies.

OPM discontinued the periodic reviews of agencies' executive development plans in 1982 and, in the spring of 1983, began granting final long-term approval of agency executive development programs. OPM then planned to approve about one agency program a month based on a review of agency records and a site visit. This review process resulted in approval of three agencies' executive development programs--Interior, Agriculture, and Labor. However, OPM officials advised us that, in November 1983, they decided to discontinue the agency-by-agency final approval process, primarily because it was consuming so much time that they recognized several years were going to be required to approve all agencies' programs. Instead, as part of its revised approach to executive development, OPM plans to monitor agencies' progress by using existing data base systems, periodic onsite agency reviews, and feedback from agencies received as part of OPM's program assistance efforts.

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Small agency program

In 1980, OPM began an SES candidate program for agencies that did not have enough SES positions to justify conducting a program of their own. OPM established a criteria of less than 50 SES positions as the basis for participation in the first class. The first class had 62 candidates from 22 agencies, 58 of whom graduated. The tuition was \$4,000 a candidate. Participants attended formal training and seminars and worked on developmental assignments for 1-1/2 years. When not involved in these activities, candidates worked at their regular jobs.

In 1981, a second class started. Tuition for a candidate in this class increased to \$6,000. There were 15 participants from seven agencies, although eligibility was increased to agencies with up to 100 SES positions. We were able to contact and interview 12 participants in this class about the extent to which they believed the program had prepared them for entry into the SES. Nine told us the program had prepared them to a great or very great extent, two said to some extent, and one said to little or no extent.

As part of its revised approach to management development, in March 1984, OPM announced a broader version of its small agency program. This program, consistent with OPM's plans to integrate supervisory, management, and executive development, is open to non-SES candidates at the GS/GM 14-15 level and, on an exception basis, to the GS/GM-13 level, although priority will be given to SES candidates.

The program is based on the six competency areas mentioned earlier and is structured to accommodate "full participants"--those who will be involved in the entire program--and "intermittent participants"--those who wish to selectively supplement their own agencies' training and development activities by participating in portions of the OPM program. The program will be limited to 40 full participants at a cost of \$4,000 each. Costs for intermittent participants will be prorated according to the activities selected.

OPM'S revised approach  
to executive, management,  
and supervisory development

The OPM activities discussed in the preceding sections focused on developing SES candidates and individuals already in the SES. As noted earlier, OPM is broadening its management development program to provide for the systematic development of supervisors, managers, and executives. This new approach, which is outlined in the recently issued FPM Chapter 412, is based on a conceptual model of managerial behavior that OPM calls the Management Excellence Framework.

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This framework consists of three elements--competency areas, effectiveness characteristics, and management levels. The six competency areas are those described earlier which resulted from OPM's research efforts. They describe what executives, managers, and supervisors do. The effectiveness characteristics describe how successful supervisors, managers, and executives perform their assigned tasks. According to OPM, the need for these characteristics is generally cumulative as the scope of an individual's management responsibilities increases. The third element of the framework refers to who the executives, managers, and supervisors are--three levels of managers with differing levels of responsibility whose behavior the overall framework describes.

OPM is also developing a Management Excellence Inventory, a questionnaire directly linked to the framework, which can be used by supervisors, managers, and executives to identify both individual and organizational development needs and strengths. OPM plans to incorporate the use of this questionnaire into its management training curriculum.

OPM's new FPM chapter explicitly recognizes that, for many federal employees who have come up through the ranks in technical or professional positions, management is a "second profession." Consequently, it distinguishes between developmental needs for supervisors, managers, and executives. It also emphasizes that successful implementation of a management development program requires top management support and a partnership between OPM and the other agencies.

The new chapter does not make major policy changes. It does, however, eliminate the prior requirement that SES candidates attend OPM's Executive Development Seminar. Instead, the new chapter provides a list of several formal, interagency, executive-level training experiences--including OPM's Executive Development Seminar--that have been approved by OPM for SES candidates. It also reduces from 5 to 3 years the period during which candidates retain their certification for an SES position.

OPM is developing a plan to restructure and reorganize its training and development activities to reflect the change from a separate focus on (1) training and (2) supervisory, management, and executive development. In April 1984, OPM formed a task group to identify organizational and operational changes needed to integrate the two formerly separate functions and implement the new FPM chapter.

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AGENCY EXECUTIVE  
DEVELOPMENT ACTIVITIES

While executive development is carried out under broad OPM guidance, each agency has tailored its program to meet its particular needs. Agencies select candidates for the SES, assign mentors to them, prepare individual development plans (IDPs) with the employees, and enroll them in developmental programs, which include training courses and assignments.

The SES candidates, their mentors, and SES incumbents we interviewed generally believed the programs had been beneficial. We found some instances, however, where the agencies we reviewed were not complying with certain provisions of OPM's guidance and regulations. OPM's new FPM chapter addresses these matters.

SES candidate selection

According to OPM officials, the five agencies we visited had, as of March 1984, selected 244 SES candidates. Ninety-eight of the candidates had been placed in SES positions. Selections were made by agencies' executive resources boards. Screening and selection procedures varied with each agency but included interviews, written appraisals, and self assessments. OPM officials advised us that several agencies were reconsidering the number of people to be placed in candidate programs because of the relatively high number of certified candidates compared with the relatively low percentages--in some cases less than 50 percent--actually selected for SES positions. The OPM officials stated that some agencies were not using certified candidates as the primary source for filling SES positions, and pointed out that agencies should take into account the relatively small number of SES vacancies expected for the near future in deciding on the size of their candidate programs. They also noted that the new FPM chapter requires agencies to use projected work force requirements and potential changes in their missions and goals in planning for both short and long-term management development needs.

Each of the agencies we visited based its candidate development program on OPM's six competency areas. Candidates addressed their proficiency in these areas in written IDPs and tailored their development activities to these areas. Each agency also included competency areas based on its particular needs, in addition to the six prepared by OPM. Two levels of certification are required before a candidate is eligible for appointment to an SES position. First, the candidates' proficiency must be certified in both OPM's and the agency-specific competencies by the agency's executive resources board. Second, the candidates' proficiency in the OPM required competencies

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must be certified by an OPM-convened qualifications review board.

### Mentors

Each SES candidate is assigned a mentor from the SES who provides advice and counsel and monitors the candidate's development. We asked candidates from the five agencies visited how satisfied they were with their mentor's assistance. A majority of the candidates from each agency said they were satisfied or very satisfied. This ranged from 62 percent at the Department of Justice to 100 percent at the Department of Education. The responses are summarized in table 1.

Table 1

SES Candidates' Satisfaction With Their Mentors

<u>Degree of satisfaction</u>	<u>Agencies</u>				
	<u>Agriculture</u>	<u>Air Force</u>	<u>Education</u>	<u>Justice</u>	<u>NSF</u>
	----- (percentages) -----				
Very satisfied	24	36	50	28	36
Satisfied	46	43	50	34	43
Marginally satisfied	14	21	0	26	7
Dissatisfied	11	0	0	6	7
Very dissatisfied	5	0	0	3	0
Other	0	0	0	3	7

A majority of the candidates responded that their mentors were assisting them in the various areas prescribed by OPM. Some candidates, however, reported they were receiving no assistance in some of the required areas. Table 2 summarizes these responses. Executive development officials of the agencies we visited informed us that they were unaware that some candidates believed their mentors were not fulfilling the responsibilities prescribed by OPM guidance.

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Table 2

Percentage of SES Candidates Who Reported  
Receiving No Assistance From Mentors  
in OPM Prescribed Areas

<u>Prescribed area</u>	<u>Agencies</u>				
	<u>Agriculture</u>	<u>Air Force</u>	<u>Education</u>	<u>Justice</u>	<u>NSF</u>
Counseling in IDP objectives	5	7	25	31	7
Advising on long-term career strategy	24	14	25	40	14
Assisting in arranging developmental assignments and training	24	36	25	29	36
Monitoring developmental progress	19	7	25	43	21
Providing feedback on problems identified in developmental program	32	31	0	40	29

Individual development plans

OPM regulations require that each SES candidate and member have an IDP. Candidates' plans specify the training and assignments needed to achieve proficiency in both the OPM and the particular agency's prescribed competency areas. SES members' plans are linked to their performance objectives and focus on enhancing existing competencies, as well as correcting deficiencies identified in the performance appraisal process.

All SES candidates in our sample had plans. SES members, however, often did not. Executive development officials at Agriculture and Education said SES members were required to have plans. On the other hand, Air Force officials said plans were encouraged, but not required, unless SES members want to participate in long-term training. Officials at Justice and the NSF said they did not require plans, although NSF officials told us they intended to begin doing so.

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Training and assignments

SES candidates and members in our samples participated in training and assignments from the sources shown in table 3.

Table 3Source of Training and Assignments

	SES <u>members</u> -----(percentages)-----	SES <u>candidates</u> -----
Training:		
Government, at home agency	27	17
Government, at other agencies	26	45
Private sector	22	5
College/university	7	4
Assignments:		
Government, at home agency	13	22
Government, at other agencies	2	5
College/university	1	-
State/local government	1	1
Private sector	<u>1</u>	<u>1</u>
Total	<u>100</u>	<u>100</u>

Based on OPM's definitions for types of training and assignments, 87 percent of the training and assignments for SES candidates, and 60 percent for members, was management oriented. The remaining was of a technical nature.

SES candidates, members, mentors, and executive development officials that we interviewed felt that the training and assignments had prepared the participants for the SES or had helped them in their jobs. Details on the candidates', members', and mentors' responses are provided in appendix II. SES candidates who had participated in such assignments believed that developmental assignments in the private sector or elsewhere in the government were more useful than federal government training courses in preparing them for the SES; however, as indicated in table 3, developmental assignments tended to be used less frequently than training.

The Civil Service Reform Act authorized sabbaticals for SES members with 7 years of SES service or with a combination of at least 2 years of SES service and enough service in an equivalent

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position to make a total of 7 years. Over half of the SES members believed that sabbatical assignments would be helpful to them. However, of the agencies we reviewed, only the Air Force had granted sabbaticals, to two SES members. OPM's records showed that, as of March 1984, a total of 12 sabbaticals had been granted. Appendix III provides more information on the 12 sabbaticals.

Although the Department of the Treasury was not one of the agencies we reviewed, we noted that it has established the Treasury Executive Institute to promote the development of its SES members and candidates and to supplement more formal training offerings, such as those at OPM's Federal Executive Institute. The Treasury's Institute conducts a wide range of programs, usually 2 days a month, featuring discussions with top Treasury and other Administration officials, seminars by prominent authors in various fields, and sessions using the Harvard case studies referred to earlier. An Institute official advised us that those attending have commented favorably on the programs. Institute staff has also discussed its model with OPM and with other agencies who may be interested in establishing similar programs.

#### Evaluation of executive development

Agencies are required by OPM's regulations to systematically evaluate their executive development efforts and use the results to improve their programs. We found, however, that, of the five agencies we reviewed, only the Department of Agriculture had made the required evaluation. Officials of the other agencies said they had not formally evaluated their programs because of the absence of criteria, lack of time, or budget reductions.

Agriculture's evaluation identified problems in both the candidate and mentor selection processes, in program administration, and training. Agriculture officials told us that program improvements resulted from the evaluation and that they planned another evaluation in the future.

#### OPM's new FPM chapter addresses areas of agency noncompliance

As noted earlier, OPM's new FPM chapter reemphasizes to all agencies their responsibilities for ensuring that

- candidates' mentors are aware of their responsibilities and are properly prepared to fulfill their roles,
- SES members prepare and regularly update their individual development plans, and



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--executive development officials establish evaluation systems to assess both program and individual participant's success.

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QUESTIONNAIRE METHODOLOGY AND RESULTS

We conducted a telephone survey of 390 SES candidates, mentors, and SES members in the five agencies selected for review to assess their views on training and development and on specific activities in these areas. We interviewed random samples of SES members at all five agencies and of candidates and mentors at Agriculture and Justice. Because of their relatively small number, we attempted to contact all candidates and mentors in the remaining three agencies and all participants in the second class of OPM's small agency candidate development program. We interviewed participants in OPM's second class because it was in session at the time of our review. .

We conducted the interviews between June 15, 1983, and July 22, 1983. To increase response rates, at least three attempts were made to contact prospective interviewees. Response rates over 80 percent were obtained for all respondent groups and all agencies, except for candidates in OPM's small agency program and for Agriculture's mentors and members, who had rates of 73 percent, 74 percent, and 67 percent, respectively. Table 4 provides more details.

Sample sizes were initially designed to yield confidence intervals of  $\pm 10$  percentage points at most with a 90 percent level of confidence when projecting to the various respondent groups. Confidence intervals ranged from  $\pm 8$  upwards to  $\pm 13$  percentage points for findings concerning percentages of respondents and between  $\pm 2$  and  $\pm 17$  percentage points for findings concerning percentages of training and development activities.

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Table 4Basic Questionnaire Statistics

<u>Respondent type/agency</u>	<u>Size of universe</u>	<u>Number sampled</u>	<u>Number interviewed</u>	<u>Response rate<sup>a</sup> (percent)</u>
<u>SES candidates</u>				
Agriculture	92	39	37	94.9
Air Force	16	16	14	87.5
Education <sup>b</sup>	4	4	4	100.0
Justice	80	37	35	94.6
NSF	14	14	14	100.0
OPM's small agency program	11	11	8	72.7
<u>Candidates' mentors</u>				
Agriculture	92	38	28	73.7
Air Force	16	16	16	100.0
Education	5	5	5	100.0
Justice	80	35	30	85.7
NSF	12	12	12	100.0
<u>SES members</u>				
Agriculture	272	54	36	66.7
Air Force	172	49	41	83.7
Education	39	25	24	96.0
Justice	203	51	49	96.1
NSF	102	41	37	90.2

<sup>a</sup>Response rate equals number interviewed divided by number sampled.

<sup>b</sup>Education's four candidates were participants in OPM's small agency program.

## APPENDIX II

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Table 5

Candidates' Views on Extent to Which Training and Assignments Prepared or Will Prepare Them for SES Positions<sup>a b</sup>

<u>Training</u>	<u>Agriculture</u>	<u>Air Force</u>	<u>Education</u>	<u>Justice</u>	<u>NSF</u>	<u>Total<sup>c</sup></u>
Government, at candidates' home agencies	3.0	2.6	3.0	2.9	1.0	2.8
Government, at other agencies	2.7	2.2	2.1	2.9	2.6	2.7
Private sector	2.0	2.8	--	2.8	2.4	2.6
College/university	1.6	1.4	--	3.0	1.4	1.8
<u>Assignments</u>						
Government, at candidates' home agencies	2.1	1.6	1.3	2.0	2.1	2.0
Government, at other agencies	2.2	1.0	1.2	2.0	1.0	1.6
State/local government	1.7	--	--	--	--	1.7
Private sector	1.0	--	--	1.0	--	1.0

<sup>a</sup>Scale:

1. A very great extent
2. A great extent
3. A moderate extent
4. Some extent
5. Little or no extent

<sup>b</sup>Includes only activities that were started or completed by candidates--planned activities are not included.

<sup>c</sup>Weighted average of the five agencies.

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Table 6

SES Candidates' Perceptions of Readiness for SES Positions and  
How Program Prepared them for the SES

	<u>Air</u>			
	<u>Agriculture</u>	<u>Force</u>	<u>Education</u>	<u>Justice</u>
<u>Readiness before program<sup>a</sup></u>				<u>NSF</u>
Percent <sup>b</sup>	41	29	25	46
Mean	5.2	5.2	5.3	5.5
				5.3
<u>Readiness at time of interview<sup>a</sup></u>				
Percent <sup>b</sup>	95	100	100	91
Mean	6.8	6.9	6.8	6.7
				6.6
<u>One or more point change in readiness<sup>a c</sup></u>				
Percent	78	93	75	71
Mean	1.6	1.7	1.5	1.2
				1.3
<u>Better prepared to a moderate or greater extent by program<sup>d</sup></u>				
Percent <sup>e</sup>	81	100	100	63
				71

<sup>a</sup>Scale ranged from "definitely not ready" (1) to "definitely ready" (7).

<sup>b</sup>Percent includes only responses (6) and (7)--the highest degrees of readiness in our scale. <sup>c</sup>Change in readiness calculated by subtracting readiness before program from readiness after program.

<sup>d</sup>Scale ranged from "to a very great extent" (1) to "little or no extent" (5).

<sup>e</sup>Percent includes responses (1) "to a very great extent", (2) "to a great extent", and (3) "to a moderate extent".

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Table 7

Mentors' Perceptions of Candidates' Readiness for SES Positions  
and How Program Prepared Candidates for the SES

	<u>Air</u>			<u>Justice</u>	<u>NSF</u>
	<u>Agriculture</u>	<u>Force</u>	<u>Education</u>		
<u>Readiness before program<sup>a</sup></u>					
Percent <sup>b</sup>	25	44	20	27	50
Mean	4.3	5.4	4.8	4.8	5.0
<u>Readiness at time of interview<sup>a</sup></u>					
Percent <sup>b</sup>	64	88	100	70	92
Mean	5.9	6.8	6.6	6.2	6.0
<u>One or more point change in readiness<sup>a c</sup></u>					
Percent	82	69	80	80	50
Mean	1.6	1.3	1.8	1.4	1.0
<u>Better prepared to a moderate or greater extent by program<sup>d</sup></u>					
Percent <sup>e</sup>	93	75	100	70	83

aScale ranged from "definitely not ready" (1) to "definitely ready" (7).

bPercent includes only responses (6) and (7)--the highest degrees of readiness in our scale. cChange in readiness calculated by subtracting readiness before program from readiness after program.

dScale ranged from "to a very great extent" (1) to "little or no extent" (5).

ePercent includes responses (1) "to a very great extent", (2) "to a great extent", and (3) "to a moderate extent".

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Table 8

SES Members' Views on Extent to Which Training and Assignments  
Have Helped or Will Help Them in Their Jobs<sup>a b</sup>

<u>Training</u>	<u>Agriculture</u>	<u>Air Force</u>	<u>Education</u>	<u>Justice</u>	<u>NSF</u>	<u>Total<sup>c</sup></u>
Government, at members' home agencies	1.9	2.2	3.0	2.1	2.1	2.2
Government, at other agencies	2.1	2.2	2.4	2.7	3.3	2.5
State/local government	--	1.0	--	--	--	1.0
Private sector	2.0	2.3	1.4	1.8	2.0	1.9
College/university	1.0	1.6	--	1.8	1.9	1.7
<u>Assignments</u>						
Government, at members' home agencies	1.7	1.0	1.0	1.6	1.9	1.7
Government, at other agencies	1.7	--	1.0	--	1.3	1.4
State/local government	2.0	--	--	--	--	2.0
Private sector	2.0	--	2.0	1.0	2.0	1.8
College/university	1.7	--	--	--	1.0	1.5

<sup>a</sup>Scale ranged from "extremely helpful" (1) to "little or no help" (5).

<sup>b</sup>For SES members with individual development plans, includes only activities that were started or completed--planned activities are not included. For SES members without such plans, includes activities in which they said they participated during the last 18 months.

<sup>c</sup>Weighted average of the five agencies.

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Table 9

LIST OF SABBATICALS AS OF MARCH 1984

<u>Agency/department</u>	<u>Dates</u>	<u>Position prior to sabbatical</u>	<u>Sabbatical course of study or work</u>
Air Force	February 1, 1983-August 16, 1983	Assistant Deputy Chief of Staff for Logistics Operations	Royal Australian Air Force, study maintenance and logistics
	March 15, 1984-September 15, 1984	Chief, Mechanics & Surface Interaction Branch, Wright Aeronautical Laboratories	Learn composite materials design & develop user-friendly design handbook
Arms Control and Disarmament	August 1, 1981-July 1, 1982	Deputy Asst. Director, Multilateral Affairs	Visiting scholar, National Security and Soviet Affairs, University of North Carolina
	September 1, 1981-August 1, 1982	Chief, Technology Transfer Group	Visiting scholar, Georgetown University, study of Third World domestic arms production
Army	September 1, 1981-August 1, 1982	Director, Division of Biochemistry, Walter Reed	Visiting Professor of Cellular Biology, Salk Institute, University of California, San Diego
	January 10, 1983-December 9, 1983	Comptroller	Doctoral level program in management, University of Southern California
Defense Mapping Agency	July 30, 1982-June 30, 1983	Deputy General Counsel	Legal Research on age discrimination; presentations on findings



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<u>Agency/department</u>	<u>Dates</u>	<u>Position prior to sabbatical</u>	<u>Sabbatical course of study or work</u>
Interior	October 1, 1983- July 1, 1984	Assistant Director for Economics	Research on marketing and economics of water policy, University of California, Davis
National Aeronautics & Space Administration	May 1, 1983- April 1, 1984	Chief, Biomedical Research Division	Cardiovascular research, Stanford University, School of Medicine
	September 1, 1983- August 1, 1984	Chief Scientist, Geodynamics Branch	Center for Seismic Studies Defense Advanced Research Projects Agency, geophysical research
Nuclear Regulatory Commission	August 1, 1983- June 30, 1984	Deputy Director, Division of Quality Assurance	Visiting fellow, Battelle Corps., studies of organizational development
Transportation	May 1, 1982- April 1, 1983	Acting Associate Administrator for Research and Development	Postdoctoral research on motor vehicle safety, Oxford University, England

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